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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

Command: División: Valley Valley Valley

Inspected by: Date: 3/4/09

EXCEPTIONS DOCUMENT

Hofflander, Brad, #14337

INSTRUCTIONS: This document shall be typed. Check appropriate beyon so passessory or fill in the blanks as indicated.

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Included				
☐ Division Level 🗶 Command Level		Appeal Included				
Executive Office Level		Attachments Included				
Follow-up Required:	Forward to:	Commander's Signature:	Date:			
☐ Yes ☐ No	Due Date:	J.R. Juz	3/5/09			
Chapter Inspection:	P. 10 电影 2 1 电影 1 2 1 2 1 2 1 2 1 2 1 2 1 2 1 2 1 2 1					
Inspector's Comments Rega	rding Innovative Practice	es:				
None.						
(4)						
Command Suggestions for S	tatewide Improvement:					

Inspector's Findings:

None.

Chapter 3, Command Procurement – Cal Card Program
Item #15 – Auto Technician I, has not participated in the Procurement Training.

Item 1 – Auto Technician I, has not participated in the Procurement Training.

### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Yuba-Sutter	Division: Valley	Chapter: 3	
Inspected by: Hofflander, Brad, #14337		Date:	

Page 2

None.

Commander's Response:	

Inspector's Comments:

None.

Required Action

Corrective Action Plan/Timeline

Auto Technician will be scheduled for the next Procurement Training.

#### **COMMAND INSPECTION PROGRAM**

### **EXCEPTIONS DOCUMENT**

Page 3	

Command: Yuba-Sutter	Division: Valley	Chapter: 3
Inspected by:		Date:
Hofflander, Brad	1, #14337	5-4-09

Appeal Process: (Appeals shall be filed within five (5) business days of the	ne completed chapter inspection).
Commander's Basis for Appeal:	
N/A.	
TV//A	
	9)
Appeal Review/Decision: (This shall be the only level of appeal).	
None.	
is a second of the second of t	
Lead Inspector's Signature:	Date: 3-4-09
Responding Commander's Signature (for appeal):	Date:

Page

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division: Valley	Number: 201
Yuba-Sutter		
Evaluated by:		Date:
Hofflander, Brac	, #14337	3/4/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead	Inspector's Signa	ture:	
☐ Division Level ☐ Command Lev	el _	Bost	ef/lan	$\prec$
☐ Executive Office Level ☐ Voluntary Self-	Inspection			
Follow-up Required:  Follow-up In	spection Com	mander's Signatur	e:	Date: 3/5/04
For applicable policy, refer to: HPM 11.2, Cha	pter 3			
Are all employees associated with the use     Card program completing the CHP 78S, Co     Interest Statement, Employee, form?	of the Cal- onflict of	Yes □ No	□ N/A	Remarks:
<ol> <li>Are STD. 21 Drug Free Workplace certifica maintained within the Cal Card command fi each vendor utilized?</li> </ol>		∕es ⊠ No	□ N/A	Remarks: FMS
<ol> <li>Are STD. 204 Payee Data Record forms m in the Cal Card command file for each veno utilized?</li> </ol>	aintained Jor 💆 🕽	∕es □ No	□ N/A	Remarks: ORIGINAL TO FMS
Are California Integrated Waste Manageme Form 74 documents maintained for each ve utilized?		∕es ⊠ No	□ N/A	Remarks: FMS
5. If the vendor is a small business or DVBE is is the certification letter from the Departmen General Services maintained in the file?	sutilized, ht of	∕es ⊠ No	□ N/A	Remarks: FMS
6. When fair and reasonable is utilized, is the reasonable method documented and prope justified?		∕es □ No	□ N/A	Remarks:
7. Are purchases split into multiple transaction to circumvent transaction purchase limits?	s in order	∕es ⊠ No	□ N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully descripurchase?	ribe the	′es □ No	□ N/A	Remarks:
9. Are bank statements reconciled with the CF Cal Card Log and the receipts/invoices?	IP 317 <b>▼</b> Y	′es	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	<b>⊠</b> Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	<b>⊠</b> Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	X Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	X Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	X Yes	☐ No	□ N/A	Remarks: EFFECTIVE MARCH 2009
15. Have all cardholders received training on the Department's procurement processes?	☐ Yes	<b>™</b> No	□ N/A	Remarks: Auto Tech I will be scheduled for Procurement Training.
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	<b>⊠</b> No	□ N/A	Remarks:

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1 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Yuba-Sutter	Division: Valley	Number: 201
Evaluated by: Hofflander, Brac	Date: 3/4/09	
Assisted by:		Date: /

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level X Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: ☐ Follow-up Inspection Commander's Signature: Yes No. 3/5/09 For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of ☐ Yes ☐ No N/A Remarks: Approval via the estimated dollar value? Facilities Section. Is a CHP 78 Contract Request used for one-time services exceeding \$4,999,99? ☐ Yes □ No X N/A Remarks: Facilities Section. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command ☐ Yes □ No N/A Remarks: Facilities Section three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored and documented? Remarks: X Yes ☐ No □ N/A 5. Are all copies of correspondence with the vendor maintained? X Yes □ No Remarks: Invoices and □ N/A Statements. 6. Are letters for contracts documented and maintained which outline any problems related to substandard or Yes No X N/A Remarks: Facilities Section non-performance of the vendor? Is the final product to be delivered described specifically and in as much detail as possible in the Remarks: X Yes □ No □ N/A CHP 78? Are all required levels of approval/signature obtained,

X Yes

No

Remarks:

□ N/A

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

78A?

including the required documentation and approvals

for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

O Are requests for contract				
9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	ct Yes	□ No	<b>⊠</b> N/A	Remarks: Facilities Section.
10. Is all work completed and accepted by the Department before expiration of contract agreement'	? X Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	X Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	➤ Yes	☐ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	X Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	X Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	X Yes	☐ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	Yes Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	X Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<b>⊠</b> Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐Yes	П No	X N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	Yes	□No	X N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	Yes	□No	N/A.	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□ No	<b>⊠</b> N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	<b>⊠</b> N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	Yes Yes	□No	□ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<b>⊠</b> Yes	□No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	X Yes	□No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	Y Yes	□No	□ N/A	Remarks: Per Retention Schedule.
30. Is a log sheet maintained for a diary of activities related to the contract?	X Yes	☐ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	<b>⊠</b> N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	<b>⊠</b> N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	X Yes	☐ No	□ N/A	Remarks: Facilities Level.
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	X Yes	□No	□ N/A	Remarks: Facilities Level.
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	<b>X</b> N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	<b>⊠</b> N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	<b>⊠</b> Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	<b>≯</b> N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	X No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:
Yuba-Sutter	Valley	201
Evaluated by:		Date:
Hofflander,	Brad, 14337	
Assisted by:		Date:
		3/4/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level X Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Commander's Signature: Follow-up Required: 3/5/04 Follow-up Inspection No. ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: Auto Tech I has not had command level familiar with the related policies and ☐ Yes **⋉** No □ N/A Procurement Training. procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: procurement training? X Yes □ No □ N/A Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes No. □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes □ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? Yes Yes No  $\square$  N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: X Yes consecutively, starting anew at the beginning of each No N/A fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: X Yes forwarded to the Assistant Commissioner, Staff, for □ No □ N/A approval?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	X Yes	□ No	□ N/A	Remarks:
<ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>	☐ Yes	□No	<b>™</b> N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□No	⊠ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□No	<b>⊠</b> N/A	Remarks: Fiscal Management System. (FMS)
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	X N/A	Remarks: FMS
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	<b>⊠</b> N/A	Remarks: FMS
14. Are items checked immediately for content and damage when delivered?	X Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	X Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	X Yes	□No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	X Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	☐ Yes	□No	<b>⋈</b> N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	X Yes	□No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	<b>⊠</b> N/A	Remarks: No Occurrence.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	<b>⊠</b> Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	X Yes	□ No	□ N/A	Remarks: or per the Records Retention School.
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<b>X</b> Yes	☐ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	□ No	X N/A	Remarks: FMS

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: 285	Division: Valley	Number:201
Evaluated by: CANALDA, D.	14768	Date:
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Load Inca	ector's Signa	A		
		☑ Command Level	Sgt. D	an Canal	ia, #147	68	
		☐ Voluntary Self-Inspection	Du Cinole				
F	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Command	der's Sigratur	e:	-	Date: 12/3c/08
	pplicable policy, refer to:		10	(/ (/			
1.	to circumvent the \$4,999		☐ Yes	□No	IZ N/A	Remarks:App Section.	proval from Facilities
2.	Does all X Number file do STD. 204 Payee Data Re	cord?	X Yes	□No	□ N/A	Remarks:	
3.	Do X Numbers requiring a landscaping) have prior a Services Section commar	oproval from the Business	☐ Yes	□No	⊠ N/A	Remarks;	
	Are X Number requests m services are performed?		X Yes	□No	□ N/A	Remarks:	
	Are X Numbers issued for			□No	□ N/A	Remarks:	
6.	Are prohibited services pe Number?	rformed using an X	☐ Yes	X No	□ N/A	Remarks:	· -
	Are X Numbers used for the service and not the purcha	se of a commodity?	X Yes	☐ No	□ N/A	Remarks:	
	Are X Numbers issued for related services pre-appro Telecommunications Secti	ved by on?	Yes	∑ No	□ N/A	Remarks:	
	Do X Numbers used for far (such as roof repair, electri have prior approval from F	cal) costing over \$1,000 acilities Section?	☐ Yes	□No	∏ N/A	Remarks:Appr Section	oval from Facilities
	Do X Numbers issued for la agreements have prior app Assistant Commissioner?		Yes	□No	∏ N/A	Remarks:Appro	oval from Facilities

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Assistant Commissioner?				Section.
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□No	X N/A	Remarks: Only Small Busines: vendors used.
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	X Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	∑ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	X Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Woodland	Division: Valley	Chapter:
Inspected by: D. R. Iketani		Date: 1/29/09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION  Division Level  Commi	and Level	Total hours ex inspection:	pended on the	Corrective Action Plan Included
Executive Office Level			hours	Attachments Included
Follow-up Required:	Forwa	rd to:		So 11/1
☐ Yes ☐ No	Due D	ate:		Chiles The Control of
Chapter Inspection:				
Inspector's Comments Re	egarding Ir	novative Pra	ctices:	

Pursuant to HPM 22.1, Chapter 1, Woodland Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command Procurements X-Number: Program

Command Suggestions for Statewide Improvement:	
None	
Inspector's Findings:	

None.

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PRO

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

	Command:	Division:	Chapter:
	Woodland	Valley	3
	Inspected by:		Date:
Page 2	D. R. Iketani		1/29/09
Commander's Response:   Concur or			
Commander's Response: Concur or	☐ Do Not Concur (Do Not C	Concur shall docum	nent basis for response)
	,		
Inspector's Comments: Shall add		·	
Inspector's Comments: Shall address non etc.)	concurrence by commander (e.g	g., findings revised	, findings unchanged
[ etc. )		<b>3</b> .	, manigo amenangoa,
<u>;</u>			
Required Action		arts of temperature and the same	
and the second of the second o	A STATE OF THE STA	A SHAPE HIS WORK	
Corrective Action Plan/Timeline			
Al/A			
N/A			
	(), 0, 1, 1		
Employee would like to discuss this report with	COMMANDER'S SIGNATURE		DATE
the reviewer,	11/1/1		DATE / /
(See HPM 9.1, Chapter 8 for appeal procedures.)	1 Million		01/29/09
	INSPECTOR'S SIGNATURE		DATE
l l	THOSE RESUMENTS CONTINUE MAN		DATE
C Povious diamentalis			
Reviewer discussed this report with	REVIEWER'S SIGNATURE		DATE
employee		1	ELALE.
☐ Concur ☐ Do not concur			

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Woodland 1380	Dension: 1201	Mumber
Dinella Ca	arrido	Date:   Der   09
D.R. IKet	ÙΛi	Date: 129/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fit in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to fine next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

IABE	IF INSPECTION		LEAC MA	ISORULE SIÑEIS	ane:	
☐ Di	vision Level	Command Level	1000	elle,	Har	side
□£x	equive Office Level	☐ Voluntary Self-Inspection	1 ~			
F	ollow-up Required: ☐ Yes ☐ No	Follow-up Inspection	Commenc	Kuth	5	Date:/ 01/29 / 09
For a	oplicable policy, refer b	o: HPM 11.2, Chapter 3				9
1.	Card program completi Interest Statement Em		X Yes	□ No	□ N/A	Remarks:
2.		Workplace certifications all Card command file for	Yes Yes	☐ Mo	□ N/A	Remarks
.3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained nd file for each vendor	X Yes	□ No	□ N/A	Remarks
	Form 74 documents ma utilized?	d Weste Management Board sintained for each vendor	Yes	☐ Mo	□ N/A	Remarks:
5.		ousiness or DVBE is utilized, from the Department of ained in the file?	Yes	□ No	□ N/A	Verified by DGS internets and DGS stamp
වි.	When fair and reasonal reasonable method doc justified?	ole is utilized, is the fair and umented and properly	X Yes	∏ Na	□ N/A	Remarks:
7.	Are purchases split into to circumvent transactio	multiple transactions in order n purchase limits?	☐ Yes	⊠(Na	□ N/A	Remarks:
8.	purchase?	Card Log fully describe the	X Yes	☐ No	□ N/A	Remarks:
9.	Are bank statements res Cal Card Log and the re	onciled with the CHP 317 celpts/involces?	) Ves	□ No	AIM 🗌	Remarks:

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

Cal-Card Program

10. Are credit invoices/receipts for returned items maintained with the bank statement?	Yes	☐ Mo	□ N/A	Remarks:
11. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	Yes	∏ f¥lo	MIA	Remarks:
12. Are Cal Cards maintained in a secure area?	X Yes	No	□N/A	Remarks:
13. Are Call Card purchases pre-approved by the commander?	Yes	☐ Ma	□ NÆ	Remains
14. Have all cardholders received training on the Department's procurement processes?	'∑ Yes	[_{Mo	□NÆ	Remains
15. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	X No	□ N/A	Remarks

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Page Joseph

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM** INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Woodland	Division: Valley	Number: 280
Evaluated by: Captain Iketani		Date: 1/29/09
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level □ Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Follow-up Required: ☐ Follow-up Inspection Commande 01/29/08 Yes □No For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of ✓ Yes Remarks: □ No □ N/A the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time N/A services exceeding \$4,999.99? Remarks: ☐ Yes □ No 3. Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command Remarks: N/A ☐ Yes □No three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? is the performance of contract services monitored Yes and documented? Remarks: ☐ No □ N/A Are all copies of correspondence with the vendor Yes maintained? Remarks: □ No □ N/A Are letters for contracts documented and maintained which outline any problems related to substandard or Remarks: ☐ No □ N/A non-performance of the vendor? is the final product to be delivered described specifically and in as much detail as possible in the Yes □ No Remarks: □ N/A CHP 78? Are all required levels of approval/signature obtained, including the required documentation and approvals Yes Remarks: ∏ No □ N/A for expedite and emergency contracts per HPN 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

Page

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□No	Ø N/A	Remarks:
10	Is all work completed and accepted by the     Department before expiration of contract agreement?	☐ Yes •	□ No	N/A	Remarks:
1	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	Yes	□ No	□ N/A	Remarks:
13	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	☐ Yes	□No	Ø N/A	Remarks:
14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☑ Yes	□No	□ N/A	Remarks:
15	. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<b>☑</b> Yes	□No	□ N/A	Remarks:
16	Are all applicable form sections of the CHP 78 completed?	☑ Yes	□ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	☑ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	I N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	□Yes	П No	N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21.	Is the length of the contract amendment request			T /	
	more than one year?	Yes	□ No	N/A	Remarks:
22. /	Are amendments requested before the expiration of the original contract?	Yes	□No	☑ N/A	Remarks:
i r	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	Ø N/A	Remarks:
F	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	Ø N/A	Remarks:
F <u>c</u>	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	<b>⊠</b> N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
lir th	s a driver license check conducted for, but not mited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel re scheduled to be on-site for more than 30 days:  (1) Alam and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (Interior of facility) (14) Plumbing Services (Interior of facility) (14) Plumbing Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Flepair	Yes	□ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Z Yes	□No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	<b>✓</b> Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	☑ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□ No	☑ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	☑ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	Yes	☐ No	☑ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	☑ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	☑ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	☑ N/A	Remarks:
<ol> <li>Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)</li> </ol>	☐ Yes	□ No	y⁄ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	Ø N/A	Remarks:
<ol> <li>Are any contract payments made prior to the fir al approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)</li> </ol>	☐ Yes	☐ No	₽ N/A	Remarks:

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL  COMMAND INSPECTION PROGRAM  MEDICATION CHECKLIST	Comment:  VOO land  Landsted by:  Landsted by:	1380 N	noion: alley/a	Pag 901 Numb	1991	1 of 3
Chapter 3, Command Procurements Purchases		_Ke.tan	- \	Dane		09
NSTRUCTIONS: Answer individual items with "Yes" or "No" answ applicable legal statues, or deficiencies noted in the inspections sha iscrepancies and/or deficiencies shall be documented on an Exce arthermore, the Exceptions Document shall include any follow-up aspection, the "Follow-up Inspection" box shall be marked and only	ptions Docum ptions Docum and/or come	ented on via nent and ad clive action	the Rema dressed to s) taken.	rks" section. The next level fittes form is u	Additiona of comm	fly, such
YPE OF INSPECTION	Lean Ins	eccors Signa	icune:		-	
Division Level X Command Level		m,00	000	bieech.	· · · · · · · · ·	H ** - ~
Executive Office Level Voluntary Self-Inspection	7	N WX				
Follow-up Required:  Yes No Follow-up Inspection	Company	PHA			Dane: 01/28/	109
or applicable policy, refer to: HPM 11.2, Chapter 7						
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	1 Yes	☐ No	□ N/A	Remarks		
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	X Yes	. □ Nio	□ N/A	Remarks		
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>	☐ Yes	⊠ No	□ N/A	Remarks		
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order .</li> <li>Purchases via the internet</li> </ul>				* X	ğ	
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks		
<ol> <li>Is all required information entered on the CHP 43, Purchase Requisition?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks		
<ol><li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li></ol>	⊠ Yes	□ No	□ N/A	Remarks		
<ol> <li>Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for</li> </ol>	⊠ Yes	□ tvio	□ N/A	Remarks:		

approval?

YTE OF CALFORNIA HIGHAAY PATROL PARTHEN OF CALFORNIA HIGHAAY PATROL ON AREA AREA INCOMENTALIAN PRO

### OMMAND INSPECTION PROGRAM

NEECTION CHECKLIST

hapter 3, Command Procurements urchases

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	swense	AM 🗆	oN 🗆	29.Y 💢	To Demeged items delivered by common camerier accorded and 18th by the Camerier's driver scene acknowledges on the freight bill by the cameries driver showing acceptance.
	Remarks	A¼N □	oN 🗆	25 Y 🛛	and yet benieten "veceived copy" retaine and al .8.th. SMT and of gridosward bas accielymos not basamos Sbeviesen in emplete stellamos and renievent is when its received and retains and received and retains a
*	zwieme#	A%N □	aM □	SA/Q	Ty. Is FMS provided a photocopy of the purchase order as sejiz griden or packing slips as sed and any approved their bar a portion of the order has been received?
DIGNUT SUNDAU	anguan a qil	A\u □	ON 🏹	29Y. []	and of bertasthe sqilis gnikkag holona brigieri en A. Bri of hees bina rebro essatoring ett to yggo bevelsen S.M.S.
2 E .	Swindfi	AN 🗆	ON [	257 Ø	fig. Is the "neceived copy" of the purchase order and to the Fiscal forwarded to the Fiscal Management Section (CMS), Account Payable Unit, within three business days of recept, it all thems are
	зметея	A\m 🗆	aN 🗆	≫火⊅	bns hratno roi ylatsibammi baskarlo amati ara. "Af Sbaravilab nartw agemeb
	Remarks:	AND 🔯	.aM □	59¼ <u> </u>	Et Do Mon-Competitive Bid (NOB) purchase requests to MOD (CD ). Et anietros (NOB) de Comective School de Comective (Nob) de Com
	:swemen	A\u □	aŊ. 🗌	2017日	alzaupan azertoruq greibbið aviðbagmoð batimið an A. Cli leinarmhegab ignileixa altim acehetni hadt amati noi 96. 3836 MAS dinn acnsilgmos ni tnamgiupa
	Saltemasi	AN 🗆	oN □	29Y J	atsouper assistand griibbi8 aviitiegmo0 bedimi1 enA _fr onioega eno of essistand erif forteen to fimil farif MA2 diw eomaligmoo ni bra beditzuj Jebom to brand 9888
	33M6M95	4 AM □	oN 🗀	S⇔Y ⊠	10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?
	zaktemes?	a AN □	oN 🗆	59A ⊠	9. Are the CHP 43, Purchase Requisitions, competitively bid?
	zantemes	A\N □	aM □	<b>≈</b> 4 🗵	set nisinoo bazanny zmati bazilisiooge oO8 Salavongqa I9O nobna ,noisiviO abainqonqqa

#### **COMMAND INSPECTION PROGRAM**

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	∏ Na	□ N/A	Renarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	X Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ ves	□ No	□ N/A	Remarks
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	Xes	□ No	□ N/A	स्थाताहरू
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	Mo.	□NIA	Remarks

STATE OF CALIFORNIA HIGHWAY PATROL COMMERCIE: DWISION:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Comments: Woodland 380	Dalley 201	Number	**
Denette Car	rido	Date: 139	100
D.R. IKeta	Νì	Date: 1 29	109

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1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up inspection" box shall be marked and only deficient items need to be re-inspected.

11PE	OF INSPECTION	1		HESTALLE ENTREM	1	•
Di	vision Level 🔀 Command Level		(0)	nelle	Har	oudo
	recultive Office Level			ماسا		
F	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	ET.	Confinance	Store Store	5	Date: 04/29/09
	pplicable policy, refer to: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers awarded to the same veno to circumvent the \$4,999 contract limit?	dear	∏ Yes	X No	□ N/A	Remarks:
2.	STD. 204 Payee Data Record?		"∑ Yes	□No	□ N/A	Fremains Only if new Vendor
	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	5	☐ Yes	_ No	MIA	Facility Section '
	Are X Number requests made prior to the date the services are performed?		⊠ Yes	□No	□NÆ	Remarks:
5.			ĭYes	☐ Nio	□ N/A	Remarks
	Are prohibited services performed using an $X$ Number?		☐ Yess	⊠(No	□ N/A	Remarks:
	Are X Numbers used for the procurement of a service and not the purchase of a commodity?		Yes	ם ביין	□ N/A	Remarks:
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	1	☐ Yes	No	X Min	Remarks:
9.	(such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	J	X Yes	∐ Na	□ N/A	Remarks.
70.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	[	☐ Yes	□ No	∭ N/A	Remarks

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements - X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	X No	□N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	∑ Yes	□ No	□ N/A	Remarks
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number yendors?	N Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	□ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOC! JMENT

Command: Truckee	Division: Valley	Chapter: Chapter 3, Cal-Card Program
Inspected by: Sergeant Steve	Bryan, #10527	Date: 11/28/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective A	ction Plan Included			
☐ Division Level ☐ Command Level		☐ Appeal Included				
Executive Office Level		Attachments Included				
Follow-up Required:	Forward to:	Commander's S	ignature:	Date:		
⊠ Yes □ No	Due Date:	. Day	Kon	3-9-04		
Chapter Inspection:						
Inspector's Comments Rega	rding Innovative Practice	es:				
	Ş.					
ž.						
II II						
Command Suggestions for S	tatewide Improvement:					

#### Inspector's Findings:

Item #2: No STD 21's were located in the Cal-Card Command file for each vendor.

Item #4: No CHP 74 in Files

Item #10: CHP 317A missing.

Item #15: Auto Tech. has not received training.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command:	Division:	Chapter: Chapter 3,
Truckee	Valley	Cal-Card Program
Inspected by: Sergeant Steve	Bryan, #10527	Date: 11/28/2008

Commander's	Response:
-------------	-----------

The OSSI will obtain a STD 21, Drug Free Workplace Certification from each vendor and place them into the respective file. CHP 74 and CHP 317A will be up dated and filed.

1.		mments:		
nenoc	TOP'C O	mmante:		
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#### Required Action

Corrective Action Plan/Timeline

The area's OSSI has requested the STD 21, and will place each into each vendors file. CHP 74 and CHP 317A's will be completed and filed. The areas Auto Tech. will receive training when it becomes available.

No further action necessary.

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# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Truckee	Division: Valley	Chapter: Chapter 3, Cal-Card Program
Inspected by: Sergeant Stev	e Bryan, #10527	Date: 11/28/2008

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Appeal Process: (Appeals shall be file	ed within five (5) business days o	f the completed chapter ins	spection).
Commander's Basis for Appeal:		Parks Communication	Refer to self-tuend I highly bugs-
Tommanus o Basis for Appeal.			
			7
Appeal Review/Decision: (This shall	be the only level of appeal).		
ri e			

Load Inspector's Cianoture		
Lead Inspector's Signature:	I Date:	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Truckee	ruckee Valley	
Evaluated by: Sergeant Steve	Date: 11/28/2008	
Assisted by: OSSI Terri Fishe	er, #A12351	Date: 11/28/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	I Lood to	- 40:		
☐ Division Level ☐ Command Level	Lead ins	pector's Sign		0-
☐ Executive Office Level ☑ Voluntary Self-Inspecti	1	1.150	7.4	SET.
Follow-up Required:	n Comman	der's Signatu	//	Date: 12-9-08
For applicable policy, refer to: HPM 11.2, Chapter 3				
Are all employees associated with the use of the Contract of Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?  Are STD, 242	al- ⊠ Yes	□No	□ N/A	Remarks: Captain Ross is the only employee required to fill out the CHP78X.
<ol><li>Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?</li></ol>	☐ Yes	⊠ No	□ N/A	
<ol><li>Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	Yes	⊠ No	□ N/A	Remarks: No CHP 74 in file.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□ No	⊠ N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	r Yes	⊠ No	□ N/A	Remarks:
Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□ No	□ N/A	Remarks:
<ol><li>Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?</li></ol>	⊠ Yes	☐ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

1	10 Is the CHP 317 Col Cord Learnership the	7			
	10. Is the CHP 317 Cal Card Log properly authorized and maintained?	☐ Yes	⊠ No	□ N/A	Remarks: Need CHP 317A completed.
	11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
	<ol> <li>Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
	13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
	14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
	15. Have all cardholders received training on the Department's procurement processes?	☐ Yes	⊠ No .	□ N/A	Remarks: Automotive Tech. needs to be trained.
	16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

## **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Division:	Chapter: Chapter 3,
Truckee	Valley	Contracts
Inspected by:	Date:	
Sergeant Ste	ve Bryan, #10527	12/08/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. TYPE OF INSPECTION □ Corrective Action Plan Included ☐ Division Level ☐ Command Level Appeal Included ☐ Executive Office Level Attachments Included Forward to: Commander's Signature: Date: Follow-up Required: ⊠ Yes □ No 3-9-09 Due Date: Chapter Inspection: Inspector's Comments Regarding Innovative Practices: Command Suggestions for Statewide Improvement:

Inspector's Findings:

The X Number procurement system has been changed. The 78X's are obtained processed and approved through Facilities Section. The area assists with obtaining the required 3 bids or the one bid from a certified small business. All payments and billing are handled by the Contract Section.

A large number of the items to be examined in this inspection are not applicable to the area.

### COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Page 2

Command: Truckee	Division: Valley	Chapter: Chapter 3, Contracts		
Inspected by:	Date:			
Sergeant Steve Bryan, #10527		12/08/2008		

Command	ler's	Res	ponse:
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Diary will be implemented by the OSSI for both items 4 and 30.

Inspector's Comments:

### Required Action

Corrective Action Plan/Timeline

The areas OSSI will implement a diary for the above corrections.

No further action necessary.

### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: Division: Truckee Valley		Chapter: Chapter 3, Contracts
Inspected by:	Date:	
Sergeant Steve Bryan, #10527		12/08/2008

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).				
Commander's Basis for Appeal:				
	9			
Appeal Review/Decision: (This shall be the only level of appeal).				
The car is to the wife of the control of appeals.				
Lead Inspector's Signature:	Date:			
Responding Commander's Signature (for appeal):	Date:			
responding Commander a digitature (for appear).	Date.			

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Truckee	Division: Valley	Number:Chapter 3, Contracts	
Evaluated by: Sergeant Stev	Date: 12/08/2008		
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:					
☐ Div	vision Level	○ Command Level		Ren	A	SOT	
☐ Executive Office Level ☐ Voluntary Self-Inspection			S. BRYAN SOT.				
Follow-up Required:		Command	eirs Signature	Rozz		Date:	
For applicable policy, refer to: HPM 11.1, Chapter 22							
1.		Request used to initiate all are repetitive, regardless of lue?	⊠ Yes	☐ No	⊠ N/A	Remarks:	
2.	Is a CHP 78 Contract I services exceeding \$4,	Request used for one-time 999.99?	Yes	□ No	⊠ N/A	Remarks:	
3.	<ol> <li>Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?</li> </ol>		⊠ Yes	□ No	□ N/A	Remarks:	9
4.	4. Is the performance of contract services monitored and documented?		☐ Yes	⊠ No	□ N/A	Remarks:	
5.	Are all copies of corres maintained?	oondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:	
6.		documented and maintained ems related to substandard or vendor?	⊠ Yes	□No	□ N/A	Remarks:	
7.		e delivered described uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8.	including the required defor expedite and emerge	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Are requests for contract services less than six				
months from the anticipated start date of the contra pre-approved by Assistant Commissioner, Staff, for expedited processing?	ct Yes	S □ No	D N/A	Remarks:
10. Is all work completed and asset at all the				
Is all work completed and accepted by the Department before expiration of contract agreement.	t? Xes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12 Are invoices for neumant and				14
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there				
are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled				
final invoice?	⊠ Yes	□ No	□ N/A	Remarks: Only the work performed on the area level. Facilities notified of completion.
15. Is the final invoice identified and approved, as			-	
appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78			Ų	
completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18 Are all employees associated with the				
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
19. Are problems concerning the contractor's				
performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts				
increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request				
more than one year?	☐ Yes	s 🗆 No	⊠ N/A	Remarks:
Are amendments requested before the expiration of the original contract?	☐ Yes	s □ No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks:
<ul> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> <li>(9) Graphic Arts Equipment Maintenance and Repair</li> <li>(10) Heating, Ventilation, and Air Conditioning Service</li> <li>(11) Laundry/Linen Service</li> <li>(12) Office Machine Maintenance and Repair</li> <li>(13) Painting Services (interior of facility)</li> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19) Uninterruptible Power Supply Maintenance and Repair</li> </ul>				
ID COOF (Day, 00 00) OFF 610				

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks: Area will implement diary.
31. Is a computer file prepared for all contracts administered?	☐ Yes	□ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	☐ No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
<ol> <li>Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
<ol> <li>Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Truckee	Division: Valley	Chapter: Chapter 3, Purchases
Inspected by:		Date:
Sergeant Ste	ve Bryan, #10527	12/01/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION  Division Level Command  Executive Office Level  Follow-up Required:  Yes No	Forward to:  Due Date:	Corrective Action Plan Included Appeal Included Attachments Included Commander's Signature	Date: 03-05-2009
Chapter Inspection:			
Inspector's Comments Regar	rding Innovative Practice		
Command Suggestions for Co	totouido logoros esta		
Command Suggestions for St	latewide improvement:		

No discrepancies and/or deficiencies were noted during the inspection.

Inspector's Findings:

### **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Truckee	Division: Valley	Chapter: Chapter 3, X-Number Program
Inspected by:	Date:	
Sergeant Steve	12/02/2008	

Required Action

Corrective Action Plan/Timeline

No Corrective Action Plan needed.

### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter: Chapter 3,
Truckee	Valley	A-Number Program
Inspected by:		Date:
Sergeant Ste	eve Bryan, #10527	12/02/2008

PROVED TO STORY SHOULD BE SHOULD SHOU	
Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Commander a Basis for Appeal.	
8	
	651
*	
Annual Boylow/Desigion: (This shall be the actual of annual)	
Appeal Review/Decision: (This shall be the only level of appeal).	
10	
Lead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Truckee	Division: Valley	Number: Chapter 3, Purchases
Evaluated by: Sergeant Steve	Date: 12/01/2008	
Assisted by: OSSI Terri Fishe	Date: 12/01/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION							
☐ Division Level	☑ Command Level	Lead Insp	pector's Signa				
☐ Executive Office Level ☐ Voluntary Self-Inspection		5	BRY	A	SGT		
Follow-up Required:	☐ Follow-up Inspection	Command	der's Signatur	re: سی	Ross	Date:	0}-
	to: HPM 11.2, Chapter 7			ļ			
command level famil procedures for purch		⊠ Yes	□No	□ N/A	Remarks:		
procurement training		⊠ Yes	□No	□ N/A	Remarks:		
<ol><li>Are prohibited items properties.</li></ol>	procured on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:		
<ul> <li>Supplies for p</li> <li>Commodities</li> <li>Confirming or</li> <li>Purchases via</li> </ul>	personally – owned equipment for personal use der a the internet						
prepared for commod different suppliers or f commodity contracts?		⊠ Yes	□ No	□ N/A	Remarks:		
Purchase Requisition?		⊠ Yes	□No	□ N/A	Remarks:		
consecutively, starting fiscal year (July 1)?	nase Requisitions, numbered anew at the beginning of each	⊠ Yes	□No	□ N/A	Remarks:		
7. Are expedited requests forwarded to the Assis approval?	s for the purchase of goods tant Commissioner, Staff, for	⊠ Yes	□ No	□ N/A	Remarks:		

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	8. Do specialized items purchased contain the				The state of the s
	8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
	10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	<ol> <li>Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?</li> </ol>	Yes	□No	⊠ N/A	Remarks:
	<ol><li>Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?</li></ol>	☐ Yes	□No	⊠ N/A	Remarks:
	3. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
	4. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	is Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: The Freight and/or packing slips are filed at the area.
17	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Ш	00					
	20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
		Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
		Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
	23.	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	□ No	⊠ N/A	Remarks:
	24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

#### **COMMAND INSPECTION PROGRAM**EXCEPTIONS DOCUMENT

Command:	Chapter: Chapter 3,	
Truckee	Valley	X-Number Program
Inspected by:	,	Date:
Sergeant Ste	ve Brvan. #10527	12/02/2008

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional opasion required.							
	<ul> <li>☑ Corrective Action Plan Included</li> <li>☑ Appeal Included</li> </ul>						
Level							
Forward to:	Commander's Signature:	Date:					
☐ Yes ☐ No ☐ Due Date:		3-9-09					
arding Innovative Practice	en og grenner ser gemeller i store fre flegt grenner store. I						
Statewide Improvement:							
	Due Date:	Appeal Included Attachments Included Commander's Signature:  Due Date:  Due Date:  Arding Innovative Practices:					

No STD 21's were located in the X-Number file for each vendor.

Inspector's Findings:

### **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Truckee	Division: Valley	Chapter: Chapter 3, X-Number Program
Inspected by:	Date:	
Sergeant Ste	12/02/2008	

Commander's Response	Co	mı	man	der's	s Res	ponse
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The OSSI will obtain a STD 21, Drug Free Workplace Certification from each vendor and place them into the respective file.

Inspector's Comments:

#### Required Action

Corrective Action Plan/Timeline

The area's OSSI has requested the STD 21's and will place each into each vendors file.

No further action necessary.

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: Division: Chapter: Chapter 3, X-Number Program
Inspected by: Date: Sergeant Steve Bryan, #10527

Page 3

Appeal Process: (Appeals shall be filed within five (5) business day	
	ys of the completed chapter inspection).
Commander's Basis for Appeal:	
	ä
Appeal Review/Decision: (This shall be the only level of appeal).	
	:
ead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	Date:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Truckee	Division: Valley	Number: Chapter 3, X-Number Program
Evaluated by: Sergeant Stev	aluated by: Date: 2	
Assisted by: OSSI Terri Fis	Date: 12/02/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:						
Division Level				Lead Inspector's Signature:				
☐ Executive Office		☑ Voluntary Self-Inspection		1 1		>6T-		
Follow-up Re	equired:	☐ Follow-up Inspection	Comman	der's Signatur	re: Kors	Date: 12 -9-05		
For applicable policy, refer to: HPM 11.1, Chapter 23				/		4		
to circumve	nt the \$4,999	awarded to the same vendor contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:		
STD. 204 P	ayee Data Re		⊠ Yes	□No	□ N/A	Remarks:		
landscaping Services Se	i) have prior a ction commar		⊠ Yes	□No	□ N/A	Remarks: Contracts for the services are compiled through Facilities Section.		
services are	performed?	ade prior to the date the	⊠ Yes	□No	□ N/A	Remarks: Unless an emergency.		
		a one-time use?	⊠ Yes	□No	□ N/A	Remarks:		
Number?		rformed using an X	☐ Yes	⊠ No	□ N/A	Remarks:		
service and i	not the purcha	e procurement of a se of a commodity?	⊠ Yes	□No	□ N/A	Remarks:		
related servion Telecommun	ces pre-appro ications Secti	on?	⊠ Yes	☐ No	□ N/A	Remarks: If requested by Telecom for Communications Center.		
(such as roof have prior ap	repair, electri proval from Fa	cilities related services cal) costing over \$1,000 acilities Section?	⊠ Yes	<sup>¹</sup> □ No	□ N/A	Remarks:		
10. Do X Number agreements h Assistant Cor	ave prior app	psed contractual roval by the appropriate	☐ Yes	□No	⊠ N/A	Remarks: Facilities Sections obtain all the approvals.		

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

INSPECTION CHECKLIST Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
Does the file documentation contain the STD. 21     Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks: No STD 21's on file.
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

#### BARBAND INCPECTION PROGRAM

COMMAN	in inole	CHONF	KU
EXCEPTION	ONS DOC	LIMENT	

Command: Tracy	Division: Valley	Grapter: Y
Inspected by: Karen Williams	on, #A06244	Date: 11/20/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.									
TYPE OF INSPECTION	TYPE OF INSPECTION Corrective Action Plan Included								
☐ Division Level ☒ Command I	Level	☐ Appeal Included	-						
☐ Executive Office Level		Attachments Included							
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 3/4/09						
☐ Yes	Due Date: 12/31/08	Machinery							
Chapter Inspection: Inspector's Comments Rega	rding Innovative Practice	es:							
None.									
Command Suggestions for Statewide Improvement:									
None									
None.									
Inspector's Findings:	<u> </u>								

In response to a Comm-Net Message dated September 22, 2008, the Tracy Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command X-Number Program Inspection Checklist

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
Tracy Valley		Date:
Inspected by: Karen Williamson, #A06244		11/20/08

Page 2

Commander's Response:	
Inspector's Comments:	<u> </u>

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division: Tracy Division		Chapter: 3	
Inspected by: Karen Williamson, #A06244		Date: 11/20/08	
Latell Adminants	יווטטבידיי, אווטטבידיי	11120100	

Page 3

Annual Process (a. 1. July 81 July 81 July 81	of the completed chapter inspection)
Appeal Process: (Appeals shall be filed within five (5) business days	s of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
A1/A	
N/A	
no hi	Dethy
Lead Inspector's Signature:	Date: 3/4/09
Responding Commander's Signature (for appeal):	Date:
- //	

1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

		THE R. LEWIS CO., LANSING, MICH.			
Command: TRACY	Division: VALLEY	Number:			
Evaluated by: KAREN WILLIAMSON		Date: 11/20/2008			
Assisted by:		Date: 11/20/2008			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:					
☐ Div	ision Level	Kare Williams						
☐ Exe	ecutive Office Level							
Fo	llow-up Required:	IN	Commander's Signature: Date: 3/4/09					
	Yes 🛛 No	1 Day	usans	tor M.	RENN'E			
For ap	oplicable policy, refer to: HPM 11.2, Chapter 3			7				
1.	Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:			
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:			
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:			
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:			
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:			
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	☐ No	□ N/A	Remarks:			
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:			
	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:			
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:			

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited     by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
TRACY	VALLEY	260
Evaluated by:	+3314	Date:
KAREN WILLIAMSON		11/20/2008
Assisted by:		Date:
		11/20/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION						
ITTPE	OF INSPECTION			ector's Signa			
	ivision Level	□ Command Level	You William				
	xecutive Office Level	☐ Voluntary Self-Inspection					
F	ollow-up Required:	Follow-up Inspection	11\	der's Signatur			Date 11/20/2008:
	Yes No		De	visa	DAM.	PENNIE	11/20/2000.
		o: HPM 11.1, Chapter 22					
1	<ul> <li>Is a CHP 78 Contract F service contracts which the estimated dollar val</li> </ul>	Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	□No	□ N/A		S FOR PATROL
						VEHICLES/E	EVIDENCE TOWS
2.	services exceeding \$4,		☐ Yes	□No	⊠ N/A	Remarks: NC TRACY ARE	OT APPLICABLE FOR A
3.	Is the Office of Primary numbering beginning w three-digit location code contract payable listed of	ith the requesting command used, followed by "CP" for	⊠ Yes	□No	□ N/A	Remarks:	
4.	Is the performance of coand documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
	Are all copies of corresp maintained?		⊠ Yes	☐ No	□ N/A	Remarks:	
	which outline any proble non-performance of the		⊠ Yes	□ No	□ N/A	Remarks:	
7.	specifically and in as mu CHP 78?	ch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:	
8.	including the required do for expedite and emerge	approval/signature obtained, cumentation and approvals ncy contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□No	□ N/A	Remarks:	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Are requests for contract services less than six				
months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	ot ☐ Ye	s 🗌 No	N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
10. Is all work completed and accepted by the				
Department before expiration of contract agreement?	? 🛮 🛚 Yes	s 🗆 No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	S No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to				
substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there		-		
are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled				
all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as				
appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78				
completed?	⊠ Yes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks;
Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	Yes	□No	⊠ N/A 5	Remarks:NOT APPLICABLE TO
CHP 680F (Rev 09-08) OPI 010				TRACY AREA

#### **COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST**

Production of the contract of				
21. Is the length of the contract amendment request more than one year?	⊠ Yes	□No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	☐ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
<ul> <li>25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:</li> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>	⊠ Yes	□No	□ N/A	Remarks: FOR TOW TRUCK CONTRACTS.
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	☐ Yes	□ No	⊠ N/A	Remarks: OUR BUILDING IS LEASED. NOT APPLICABLE TO TRACY AREA.

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	⊠ No	□ N/A	Remarks: INFORMATION IS KEPT AT AREA LEVEL FOR TOW COMPANY CONTRACT.
	28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□ No	□ N/A	Remarks:
	29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
	31. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
	32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
	33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
	34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
	35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA
	36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
	37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
	38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA.
	39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks: AREA IS BILLED BY TOW COMPANY.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

COMMAND INSPECTION PROGRAM
INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Division: VALLEY	Number:
WILLIAMSON	Date: 11/20/2008
Assisted by:	
	Division: VALLEY WILLIAMSON

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: You Ville ☐ Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Date: Commander's Signature: Follow-up Required: 11/20/08 Follow-up Inspection ☐ Yes No ( New ) FOR M. RENNIE For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: X Yes □ No command level familiar with the related policies and □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: □ No □ N/A procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: Requisitions? ☐ Yes ⊠ No N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from X Yes □ No □ N/A different suppliers or from different statewide commodity contracts? Is all required information entered on the CHP 43, Remarks: Purchase Requisition? □ No □ N/A X Yes 6. Are the CHP 43. Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each □ No □ N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: CHP 43'S ARE SENT TO forwarded to the Assistant Commissioner, Staff, for Yes ⊠ No □ N/A VALLEY DIVISION FROM AREA approval? LEVEL FIRST.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8	B. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□ No	□ N/A	Remarks:
1	O. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
1	<ol> <li>Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA LEVEL.
12	<ol> <li>Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?</li> </ol>	☐ Yes	□ No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA LEVEL.
13	B. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: NOT APPLICABLE TO TRACY AREA LEVEL.
	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
			- 1		

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

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	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
	<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	☐ No	□ N/A	Remarks:
2	4. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: TRACY	Division: VALLEY	Number:
Evaluated by: Sgt Pat Whit	e	Date: 11/20/08
Assisted by: Karen Williar	nson	Date: 11/20/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

- 1 1	YPE OF INSPECTION		Logalina					
	Division Level	☑ Command Level	- 1	spector's Sigr				
	Executive Office Level	☐ Voluntary Self-Inspectio	n PSI	Jht	- Osq	. <sup>#</sup> 11326		
	Follow-up Required:  Yes No	Follow-up Inspection	Comman	nder's Signatu	ire:	NIC	Date:	09
F	or applicable policy, refer to						<del></del>	
	to circumvent the \$4,99		☐ Yes	⊠ No	□ N/A	Remarks:		
	51D. 204 Payee Data R		⊠ Yes	□No	□ N/A	Remarks:		
	landscaping) have prior Services Section comma	a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	☐ No	□ N/A	Remarks:		
	4. Are X Number requests services are performed?		⊠ Yes	□No	□ N/A	Remarks:		
	5. Are X Numbers issued for		⊠ Yes	Пио	□ N/A	Remarks:		
	<ol><li>Are prohibited services p Number?</li></ol>		☐ Yes	⊠ No	□ N/A	Remarks:		
	<ol><li>Are X Numbers used for t service and not the purch</li></ol>	ase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:		
	<ol> <li>Are X Numbers issued for related services pre-appro Telecommunications Sect</li> </ol>	oved by	⊠ Yes	□No	□ N/A	Remarks:		
3	<ol> <li>Do X Numbers used for fa (such as roof repair, electr have prior approval from F</li> </ol>	ical) costing over \$1,000	⊠ Yes	□ No	□ N/A	Remarks:		
1	O. Do X Numbers issued for I agreements have prior app Assistant Commissioner?	apsed contractual proval by the appropriate	⊠ Yes	□No	□ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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Chapter 3, Command Procurements X-Number Program

⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
		Yes □ No Yes □ No Yes □ No	Yes □ No □ N/A  Yes □ No □ N/A  Yes □ No □ N/A

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Command: Division: Chapter: 3
Stockton Valley Date:
Lieutenant Tim Port, #10215 12/24/08

number of the inspection in the Chapte	er inspection number. Order in	oxes as necessary, or fill in the blanks as indicatorward to:" enter the next level of command who document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memora	statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command I	Level	☐ Appeal Included	
☐ Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 1/5/09
☐ Yes         No	Due Date: 12/31/08	1 Hebenha	175709
Chapter Inspection:	(ACCESTOR * 1515)		》。 第12章 15章 15章 15章 15章 15章 15章 15章 15章 15章 15
Inspector's Comments Rega	rding Innovative Practic	es:	
None.			
	c		1
Command Suggestions for S	Statewide Improvement:		
None.			
Inspector's Findings:			

In response to a Comm-Net Message dated September 22, 2008, the Stockton Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command X-Number Program Inspection Checklist

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

Command:	Division;	Chapter:
Stockton	Valley	3
Inspected by: Lieutenant Tim F	Port, #10215	Date: 12/24/08

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Commander's Response:	
Inspector's Comments:	

Required Action

Corrective Action Plan/Timeline

N/A

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

Command:	Division:	Chapter:
Stockton	Division	3
Inspected by: Lieutenant Tim	Port, #10215	Date: 12/24/08

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Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	
Communació Ducio for Appoul.	
N/A	
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
1 101	
_ead Inspector's Signature:	Date:
Responding Commander's Signature (for appeal):	1/5/09 Date:
7	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Stockton - 265	Division: Valley	Number:
Evaluated by: Lt. Larry Chamb	ers	Date: 02-01-09
Assisted by:		Date:
Annette Lawton		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION		Lead Inspector's Signature:					
☐ Division Level X Command Level							
☐ Executive Office Level ☐ Voluntary Self-Inspection		dy Makr.					
	ollow-up Required: es X No	Follow-up Inspection	Commander's Signature:  31009				
For applicable policy, refer to: HPM 11.2, Chapter 3		J.	- TV				
1.	Are all employees associated Card program completing Interest Statement, Emplo		X Yes	☐ No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free W maintained within the Cal each vendor utilized?	orkplace certifications	X Yes	□No	□ N/A	Remarks:	
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?		X Yes	□ No	□ N/A	Remarks:	
4.	Are California Integrated Waste Management Board     Form 74 documents maintained for each vendor     utilized?		X Yes	☐ No	□ N/A	Remarks:	
5.	If the vendor is a small bus is the certification letter fro General Services maintain	m the Department of	X Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonable reasonable method docum justified?		X Yes	□No	□ N/A	Remarks:	
7.	Are purchases split into me to circumvent transaction p	ultiple transactions in order purchase limits?	☐ Yes	X No	□ N/A	Remarks:	
8.	Does the CHP 317 Cal Capurchase?	rd Log fully describe the	X Yes	No	□ N/A	Remarks:	
9.	Are bank statements recor Cal Card Log and the rece		X Yes	☐ No	□ N/A	Remarks:	

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10 lo the CUID 047 0 10 11				The second secon
10. Is the CHP 317 Cal Card Log properly authorized and maintained?	X Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	X Yes	□No	□ N/A	Remarks:
<ol> <li>Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.</li> </ol>	X Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	X Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	X Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	X Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	X No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Stockton - 265	Number:	
Evaluated by: Lt. Larry Chamb	Date: 02-01-09	
Assisted by: Annette Lawton		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:			
☐ Division Level X Command Level			and mapped a signature.			
Executive Office Level			In Ma/11.			
Fo	ollow-up Required: ☐ Follow-up Inspection☐ Yes X No	Command	der's Signature		Date: 3/10/09	
For applicable policy, refer to: HPM 11.1, Chapter 22		U				
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	X Yes	☐ No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	X Yes	□No	□ N/A	Remarks: Administered through the Facilities Section	
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	☐ Yes	□No	X N/A	Remarks: CSU	
4.	Is the performance of contract services monitored and documented?	X Yes	□No	□ N/A	Remarks:	
5.	Are all copies of correspondence with the vendor maintained?	X Yes	□No	□ N/A	Remarks:	
6.	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	X Yes	□No	□ N/A	Remarks:	
7.	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	X Yes	□No	□ N/A	Remarks:	
8.	Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	X Yes	□No	□ N/A	Remarks:	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six				
9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	X Yes	□No	□ N/A	Remarks:
10. Is all work completed and accepted by the Department before expiration of contract agreement?	X Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	X Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	XYes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	X Yes	□No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	X Yes	□No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	XYes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	XYes	□No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	X Yes	□No	□ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	X Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	X Yes	□No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	Yes	X No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

		,		
21. Is the length of the contract amendment request more than one year?	☐ Yes	X No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	XYes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	X N/A	Remarks: Area has never used this type of service.
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	X N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	Yes	□No	X N/A	Remarks: Area does not have or utilize any of the services listed.
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	X Yes	□No	□ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair				

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Are all invoices and services but (CSU), along with the contract number for retention after Commander review?    28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel?    29. Are all invoices, records, and relevant documentation maintained for firnee years after the final payment of the contract?    29. Are all invoices, records, and relevant documentation maintained for firnee years after the final payment of the contract?    30. Is a log sheet maintained for a diary of activities related to the contract?    31. Is a computer file prepared for all contracts administered?    32. Is a spreadsheet prepared listing all expenditures?		7 Are all driver linear and fine training				
adverse information discovered is grounds for cancelling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?  29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?  30. Is a log sheet maintained for a diary of activities related to the contract?  31. Is a computer file prepared for all contracts administered?  32. Is a spreadsheet prepared listing all expenditures?  33. Is the notification to the contractor documented for the start date for services to begin?  34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?  35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. 1, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts?  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (e) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. 1, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. 1, Ch. 7, Section 7.05)		with the contract number for retention after	X Yes	□No	□ N/A	Remarks:
maintained for three years after the final payment of the contract?  30. Is a log sheet maintained for a diary of activities related to the contract?  31. Is a computer file prepared for all contracts administered?  32. Is a spreadsheet prepared listing all expenditures?  33. Is the notification to the contractor documented for the start date for services to begin?  34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?  35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. I, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (SC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4) Remarks: CSU	2	adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's	X Yes	□No	□ N/A	Remarks:
related to the contract?  31. Is a computer file prepared for all contracts administered?  32. Is a spreadsheet prepared listing all expenditures?  33. Is the notification to the contractor documented for the start date for services to begin?  34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?  35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Pes No X N/A Remarks: CSU		maintained <u>for three years</u> after the final payment of the contract?	X Yes	□No	□ N/A	Remarks:
administered?		related to the contract?	X Yes	No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?  34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?  35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 6) (SCM Vol. I, Ch. 7, Section 7.05)		administered?	☐ Yes	X No	□ N/A	Remarks: CSU
the start date for services to begin?  X Yes			X Yes	☐ No	□ N/A	Remarks:
have been received in order to oversee the completion of the contract?  35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, CSCM Vol. I, CS		the start date for services to begin?	X Yes	□No	□ N/A	Remarks:
contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)  36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, CSCM Vol. I,		have been received in order to oversee the completion of the contract?	X Yes	☐ No	□ N/A	Remarks:
Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)  37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 7, Section 7.05)  Remarks: CSU  Remarks: CSU  No X N/A  Remarks: CSU  Remarks: CSU		contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	X N/A	Remarks:
final contract? (SCM Vol. 1, Ch. 4, Section 4.09)  X Yes No N/A Remarks:  38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Yes No X N/A Remarks: CSU		Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	X N/A	Remarks: CSU
19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)  39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Yes No X N/A Remarks: CSU		final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	X Yes	□No	□ N/A	Remarks:
approval and execution of the contract? (SCM Vol. I, Yes No X N/A Remarks: CSU	38.	19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I,	☐ Yes	□No	X N/A	Remarks:
		approval and execution of the contract? (SCM Vol. I,	☐ Yes	□No	X N/A	Remarks: CSU

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Stockton – 265	Division: Valley	Number:	
Evaluated by:	Date:		
Lt. Larry Chamb	02-01-09		
Assisted by:		Date:	
Annette Lawton			

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Page

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			T Lood Inco	antaria Ciana		
			Lead insp	ector's Signa	ture:	
	vision Level X	Command Level				
		Voluntary Self-Inspection	din	Ws	LT.	
F	ollow-up Required:		Command	ler's Signatur	9:	Date:
	Yes x No	Follow-up Inspection	16,	DILL		3/10/19
For a	pplicable policy, refer to: I	HPM 11.2, Chapter 7	100			1911   1911
1.	Are participants in the proc command level familiar wit procedures for purchasing	th the related policies and	X Yes	□No	□ N/A	Remarks:
2.	procurement training?		X Yes	□No	□ N/A	Remarks:
3.	Are prohibited items procure Requisitions?	ed on CHP 43, Purchases	☐ Yes	X No	□ N/A	Remarks:
	<ul> <li>Supplies for persor</li> <li>Commodities for person</li> <li>Confirming order</li> <li>Purchases via the interest of the person</li> </ul>					
Y	Are separate CHP 43s, Pur prepared for commodity ited different suppliers or from commodity contracts?	ms obtainable from lifferent statewide	X Yes	☐ No	□ N/A	Remarks:
5.	Is all required information e Purchase Requisition?		X Yes	□No	□ N/A	Remarks:
6.	Are the CHP 43, Purchase consecutively, starting anew fiscal year (July 1)?	v at the beginning of each	X Yes	□No	□ N/A	Remarks:
7,	Are expedited requests for t forwarded to the Assistant C approval?	he purchase of goods commissioner, Staff, for	X Yes	□No	□ N/A	Remarks: Only after Division approval. For Field Equipment Emergencies Etc;

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8 Do specialized itoms purchased centers the				
8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	X Yes	□No	□ N/A	Remarks:
<ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>	X Yes	☐ No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	X Yes	□No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	X Yes	□No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	X Yes	☐ No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	X Yes	□No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	X Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	X Yes	□ No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	X Yes	☐ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	X Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	X Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	X Yes	□No	□ N/A	Remarks:
			III.	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## **COMMAND INSPECTION PROGRAM**INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	X Yes	□No	□ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	X Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	X Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	X Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	Yes	X No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Stockton 265	Division: VALLEY	Number:
Evaluated by: Lt. Tim Port	Date: 12/24/2008	
Assisted by:		Date:

Page

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION							
	1	Lead Insp	ector's Signa	ature: 🖫			
☐ Division Level ☐ Command Level	1		$\sim$				
☐ Executive Office Level ☐ Voluntary Self-Inspection			1900				
Follow-up Required:	pection	Command	den's Signatur	Tenn	e for	Date:	9
For applicable policy, refer to: HPM 11.1, Chapt	4	/	· w	,	0		£
Are multiple X Numbers awarded to the same to circumvent the \$4,999 contract limit?		☐ Yes	⊠ No	□ N/A	Remarks:		
<ol><li>Does all X Number file documentation contain STD. 204 Payee Data Record?</li></ol>	1	⊠ Yes	□No	□ N/A	Remarks:		
<ol> <li>Do X Numbers requiring a contract (i.e., janito landscaping) have prior approval from the Bus Services Section commander?</li> </ol>	orial or siness	⊠ Yes	□No	□ N/A	Remarks:		
4. Are X Number requests made prior to the date services are performed?		⊠ Yes	☐ No	□ N/A	Remarks:		
5. Are X Numbers issued for a one-time use?		⊠ Yes	☐ No	□ N/A	Remarks:		
6. Are prohibited services performed using an X Number?		Yes	⊠ No	□ N/A	Remarks:		
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	·   🗵	☑ Yes	□No	□ N/A	Remarks:		
8. Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?		☑ Yes	□No	□ N/A	Remarks:		
9. Do X Numbers used for facilities related service (such as roof repair, electrical) costing over \$1 have prior approval from Facilities Section?	es ,000 🗵	Yes	□No	□ N/A	Remarks:		
10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropr Assistant Commissioner?	riate 🗵	Yes	□No	□ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

44 5 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0				
11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	s ⊠ Yes	□No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	ı ⊠ Yes	☐ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
 14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

punt original to GSP 32505

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: South Sac	Division: Valley	Chapter:	
Inspected by: Captain A. R. Jo	ones, #11718	Date: 12/3/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.						
TYPE OF INSPECTION		Corrective Action Plan Included				
Division Level	_evel	Appeal Included				
Executive Office Level						
	Forward to:	Attachments Included Commander's Signature:	Date:			
Follow-up Required:   Forward to:   Valley Division			12/3/08			
☐ Yes	Due Date: 12/31/08	177	12/3/00			
Chapter Inspection:	STATE OF STATE OF STATE OF	2. 中国主义的第三人称单数 1. 19 10 2. 19 10 10 10 10 10 10 10 10 10 10 10 10 10				
Inspector's Comments Regar	rding Innovative Practice	es:				
None.						
None.						
Command Suggestions for S	tatewide Improvement:					
None.						
	8					
Inspector's Findings:						
mapeolor a muniga.						

In response to a Comm-Net Message dated September 22, 2008, the South Sacramento Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command X-Number Program Inspection Checklist

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Command:	Division:	Chapter:	
South Sac	Valley	3	
Inspected by: Captain A. R. Jones, #11718		Date: 12/3/08	

Page 2

Commander's Response:	V
Odminandor o reopenee.	
Inspector's Comments:	
mapedon a commente.	

Required Action

Corrective Action Plan/Timeline

N/A

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Command:	Division;	Chapter:	
South Sac	Division	3	
Inspected by: Captain A. R. Jones, #11718		Date: 12/3/08	

Page 3

Appeal Process: (Appeals shall be filed within five (5) business of	lays of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	
	X
Appeal Review/Decision: (This shall be the only level of appea	Ŋ.
· ·	
N/A	
<b>3</b> 1	
	Date:
Lead-Inspector's Signature: For A-Douts	12/3/08
Responding Commander's Signature (for appeal):	Date:

3-609 COPY
Page 1 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: Valley		Number: 252
Evaluated by: A. R. Jones		Date: 12/3/2008
Assisted by: OSSI A. Iglesias		Date: 12/3/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:					
☐ Division Level ☐ Command Level ☐ Voluntary Self-Inspection					TRG	ani	,	
☐ Executive Office Level ☐ Voluntary Self-Inspection							T Date:	
	Fo	llow-up Required: ☐ Yes	Follow-up Inspection	Command	er'e Signature	nes_		12/3/08
For applicable policy, refer to: HPM 11.2, Chapter 3								
	1.	Are all employees asso Card program complet Interest Statement, Em	ociated with the use of the Cal- ing the CHP 78S, Conflict of aployee, form?	⊠ Yes	□No	□ N/A	Remarks:	
	2.	Are STD. 21 Drug Free	Workplace certifications Cal Card command file for	⊠ Yes	☐ No	□ N/A	Remarks:	
	3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained and file for each vendor	⊠ Yes	□No	□ N/A	Remarks:	
	4.	Are California Integrate Form 74 documents mutilized?	ed Waste Management Board aintained for each vendor	⊠ Yes	□No	□ N/A	Remarks:	
	5.	If the vendor is a small is the certification letter General Services main	business or DVBE is utilized, from the Department of tained in the file?	⊠ Yes	□No	□ N/A	Remarks:	
	6.	When fair and reasona reasonable method document justified?	ble is utilized, is the fair and cumented and properly	⊠ Yes	□No	□ N/A	Remarks:	
	7.	Are purchases split into to circumvent transaction	multiple transactions in order on purchase limits?	Yes	⊠ No	□ N/A	Remarks:	¥i
	8.	Does the CHP 317 Cal purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:	
	9.	Are bank statements re Cal Card Log and the r	conciled with the CHP 317 eceipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: South Sac	Division: Valley	Number: 252		
Evaluated by: A. R. Jones		Date: 12/03/2008		
Assisted by: Sqt. B. Maffei		Date: 12/03/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Follow-up Inspection 12/3/08 Follow-up Required: ☐ Yes ☐ No For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: □ No □ N/A X Yes service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: □ N/A ☐ No X Yes services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: □ N/A □No numbering beginning with the requesting command ⊠ Yes three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □ N/A X Yes ΠNο and documented? 5. Are all copies of correspondence with the vendor Remarks: ☐ No □ N/A ⊠ Yes maintained? 6. Are letters for contracts documented and maintained Remarks: □ N/A ☐ No which outline any problems related to substandard or X Yes non-performance of the vendor? 7. Is the final product to be delivered described Remarks: specifically and in as much detail as possible in the X Yes □ No  $\square$  N/A CHP 78? 8. Are all required levels of approval/signature obtained, Remarks: ☐ No ☐ N/A including the required documentation and approvals X Yes for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

				T	
9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/A	Remarks:
	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
	Are all applicable form sections of the CHP 78 completed?	⊠Yes	□No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	⊠Yes	□No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□No	⊠ N/A	Remarks:
26. Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□ No	⊠ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number:			
South Sac	Valley	252			
Evaluated by: A. R. Jones		Date: 12/3/2008			
Assisted by:		Date:			
OSS 1 A. Iglesias		12/3/2008			

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Follow-up Required: 12/3/08 ☐ Follow-up Inspection Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: ∏ N/A ⊠ Yes □ No command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: ⊠ Yes □No □ N/A procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ⊠ No □ N/A ☐ Yes Requisitions? Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: X Yes No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: □ N/A X Yes No Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: consecutively, starting anew at the beginning of each □ N/A X Yes ΠNo fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: □ No N/A ☐ Yes forwarded to the Assistant Commissioner, Staff, for approval?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9. Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	☐ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks: Sometimes, items are not immediately opened at the busy front counter.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:



STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: South Sac	Division: Valley	Number: 252
Evaluated by: Capt. A. R. Jones #11718		Date: 12/3/08
Assisted by: OSSI A. Iglesi	as, #A11652	Date: 12/3/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION		Lead Inspe	ector's Signatu	ıre:		
☐ Div	ision Level	☐ Command Level	$  \alpha  $	00-			
☐ Exe	ecutive Office Level	☑ Voluntary Self-Inspection	UN	go,	~~		
Fo	ollow-up Required: ☐ Yes	Follow-up Inspection	Commande	Commanders Signature: Date: 12/2/08			Date: 12/2/08
For ap	oplicable policy, refer to	o: HPM 11.1, Chapter 23		V			
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 99 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD. 204 Payee Data I	documentation contain the Record?	⊠ Yes	□ No	□ N/A	Remarks:	
3.		g a contract (i.e., janitorial or approval from the Business nander?	☐ Yes	□No	⊠ N/A	Remarks:	
4.	Are X Number requests services are performed	made prior to the date the ?	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued	for a one-time use?	⊠ Yes	□No	□ N/A	Remarks:	
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the pure		⊠ Yes	☐ No	□ N/A	Remarks:	
8.	Are X Numbers issued related services pre-appreciated services pre-appreciations Services (Services Services Services Services Services Services Services (Services Services S	proved by	☐ Yes	□No	⊠ N/A	Remarks:	
9.		facilities related services ectrical) costing over \$1,000 n Facilities Section?	⊠ Yes	☐ No	□ N/A	Remarks:	
10.	Do X Numbers issued for agreements have prior a Assistant Commissione	approval by the appropriate	☐ Yes	☐ No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	☐ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: South Lake Tahoe	Division: Valley	Chapter: Three	
Inspected by: Lieutenant T. Malone		Date: 12-29-2008	
OSSI Carol Tudesko /	OA Stacie Brooks	Montana Harana	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		☐ Corrective Action Plan Include	d
☐ Division Level ☒ Comman	d Level	Appeal Included	
Executive Office Level		☐ Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 12-29-2008
☐ Yes	Due Date: 1-30-2009	9 (	
		t constitutions and the business of the other of the other of the other of the other	the state of the s
Chapter Inspection:	活的。但是是自己发展,可以是特种	是共國的思维自然,在1920年於一時中國的 <b>在</b> 的於	145 m Thomas Facilities (1911) and 1916.
Inspector's Comments Reg	arding Innovative Practi	ces:	

No innovative of remarkable practices were found during this inspection. The Area follows established practices and procedures as outlined in the applicable policies.

#### Command Suggestions for Statewide Improvement:

The Office Services Supervisor I suggested the Department purchase mass quantities of items such as paper and toner cartridges to reduce the cost of buying small quantities in each Area.

Under certain conditions, eliminating the requirement to purchase items through small businesses who in turn purchases the item from a larger business and marks up the price would save the Department funds.

#### Inspector's Findings:

The Area has been following established practices, policies and procedures as outlined in HPM 11.1, Chapter 22 and 23 as well as HPM 11.2, Chapter 3 and 7, with few exceptions.

In regard to Command Procurement Purchases; the Area was not attaching the freight and/or packing slips to a copy of the purchase order and sending it to FMS. The Area has been made aware of this requirement and has resolved to accomplish this in the future.

In reference to small business or DVBE; the certification letter had not been maintained in the file and only recently has the Area been including this letter in the file.

The Area has not been utilizing the CHP 78S, Conflict of Interest Statement – Employee, for employees completing purchase requisitions and Cal-Card holders. The form has been distributed to those employees for completion and inclusion into the appropriate files.

# **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

P	ac	10	2
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Command:	Division:	Chapter:
South Lake Tahoe	Valley	Three
Inspected by: Lieutenant T. Malone OSSI Carol Tudesko / 0	OA Stacie Brooks	Date: 12-29-2008

The identified deficiencies were relatively minor in nature.	The Area staff has made	a diligent effort to
comply with established policies and procedures set forth		
deficiencies have been addressed and corrected.		¥.

Inspector's Comments:

Commander's Response:

None.

Required Action

Corrective Action Plan/Timeline

All identified deficiencies have been corrected.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command:	Division:	Chapter:	
South Lake Tahoe	Valley	Three	
Inspected by: Lieutenant T. Malone OSSI Carol Tudesko /	OA Stacie Brooks	Date: 12-29-2008	

Commander's Basis for Appeal:  None.	
None.	
× ·	
Appeal Review/Decision: (This shall be the only level of appeal).	

Lead Inspector's Signature:	Date: 12-29-2008
Responding Commander's Signature (for appeal):	Date:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:
South Lake Tahoe	Valley	246
Evaluated by:		Date:
Lieutenant T. Malone		12-29-2008
Assisted by:		Date:
OSSI Carol Tudesko / OA Stacie Brooks		12-29-2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:					
☐ Di	vision Level	Command Level	7/1	Walk	me				
☐ Executive Office Level ☐ Voluntary Self-Inspection				<					
F	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Command	Commander's Signature:  Date: 12-29-2008					
For a	pplicable policy, refer to: F	HPM 11.2, Chapter 3							
	Are all employees associat Card program completing t Interest Statement, Employ	he CHP 78S, Conflict of ee, form?	⊠ Yes	□No	□ N/A	Remarks:			
2.	Are STD. 21 Drug Free Wo maintained within the Cal Ceach vendor utilized?		⊠ Yes	□ No	□ N/A	Remarks:			
3.	Are STD. 204 Payee Data I in the Cal Card command fi utilized?		⊠ Yes	□ No	□ N/A	Remarks:			
4.	Are California Integrated W Form 74 documents mainta utilized?		⊠ Yes	□ No	□ N/A	Remarks: Automotive fluids; oil, transmission fluid, brake fluid.			
5.	If the vendor is a small busi is the certification letter fron General Services maintaine	the Department of	⊠ Yes	□ No	□ N/A	Remarks: The Area recently started filing certification letters from DGS in the file.			
6.	When fair and reasonable is reasonable method docume justified?	ented and properly	⊠ Yes	□No	□ N/A	Remarks: The Area makes the majority of purchases from Office Depot after price comparisons are made.			
7.	Are purchases split into mul to circumvent transaction pu		☐ Yes	⊠ No	□ N/A	Remarks:			
8.	Does the CHP 317 Cal Card purchase?		⊠ Yes	□No	□ N/A	Remarks:			
9.	Are bank statements recond Cal Card Log and the receip		⊠ Yes	□No	□ N/A	Remarks:			

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10	. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
11	. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13	Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:		
South Lake Tahoe	Valley	246		
Evaluated by:	Date:			
Lieutenant T. Malo	ne	12-29-2008		
Assisted by:		Date:		
OSSI Carol Tudesko / (	DA Stacie Brooks	12-29-2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TALE	OF INSPECTION		Lead Insp	ector's Signa	ture:					
☐ Di	ivision Level	⊠ Command Level	7/0	To Walone						
	kecutive Office Level	☐ Voluntary Self-Inspection	0	_						
F	ollow-up Required: ☐ Yes   ⊠ No	Follow-up Inspection	Command	Commander's Signature: Date: 12-29-2008						
For a	pplicable policy, refer t	o: HPM 11.1, Chapter 22		_						
1.	service contracts which the estimated dollar va		⊠ Yes	☐ No	□ N/A	Remarks:				
2.	Is a CHP 78 Contract services exceeding \$4,	Request used for one-time 999.99?	⊠ Yes	□No	□ N/A	Remarks:				
3.	numbering beginning w three-digit location code contract payable listed	with the requesting command e used, followed by " <u>CP" for</u> on the CHP 78?	⊠ Yes	□No	□ N/A	Remarks:				
4.	and documented?	ontract services monitored	⊠ Yes	☐ No	□ N/A	Remarks: Documentation is made by sending email messages and subsequently placed into the file.				
5.	maintained?	pondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:				
6.	which outline any proble non-performance of the		⊠ Yes	□ No	□ N/A	Remarks: This has been accomplished by email and subsequently placing the email message in the file.				
7.	CHP 78?	uch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:				
8.	including the required do for expedite and emerge	f approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	⊠ Yes	□No	□ N/A	Remarks:
10	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13	. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□No	□ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks:
17.	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks: The Area most recently had a situation that caused sewage fumes to back-up into the front office. Documentation was provided to facilities section in order to facilitate the emergency work.
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks: When problems occur, email messages are sent and made part of the contractors file.
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks: The Area has not this

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

0.4	1-0-1-0-6-6	7			
21.	Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks
	Are amendments requested before the expiration of the original contract?	⊠ Yes	☐ No	⊠ N/A	Remarks
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks: The Area has not had a situation exceeding this dollar amount.
	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□No	□ N/A	Remarks:
	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				2:
l t	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□ No	□ N/A	Remarks:
	<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27	7. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ №	□ N/A	Remarks:
28	3. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
30	. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31	. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks: Hard copy files have been maintained.
32	. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	☐ No	□ N/A	Remarks:
33	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: The Area has not had the need for consultant service contracts.
36.	Does the contract file contain the STD, 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: The Area has not had any consultant contracts.
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	Yes	□ No	⊠ N/A	Remarks: The Area has not had any personal service contracts.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: South Lake Tahoe	Division: Valley	Number: 246			
Evaluated by: Lieutenant T. M	alone	Date: 12-29-2008			
Assisted by: OSSI Carol Tudesko / 0	OA Stacie Brooks	Date: 12-29-2008			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Command Level ☐ Division Level □ Executive Office Level □ Voluntary Self-Inspection Date: Follow-up Required: 12-29-2008 Follow-up Inspection ☐ Yes  $\bowtie$  No For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the Remarks: ☐ No □ N/A command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: X Yes □ N/A ☐ No procurement training? 3. Are prohibited items procured on CHP 43, Purchases Remarks: ⊠ No □ N/A Requisitions? ☐ Yes Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: prepared for commodity items obtainable from ☐ Yes ⊠ No □ N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: ✓ Yes ☐ No N/A Purchase Requisition? 6. Are the CHP 43, Purchase Requisitions, numbered Remarks: ☐ No □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? Are expedited requests for the purchase of goods Remarks: These requests are routed ✓ Yes □ N/A forwarded to the Assistant Commissioner, Staff, for No through Valley Division first. approval?

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□No	⊠ N/A	Remarks: The Area has not encountered a situation where we needed to purchase a sole brand.
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	∏ No	⊠ N/A	Remarks: The Area has not had any Limited Competitive Bidding purchases.
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: The Area has not completed any NCBs.
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: This procedure has not been utilized in the past. Freight and packing slips will be attached in the future.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks: The Area has not encountered any damaged items.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

_					
	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks: The Area has not encountered this situation. If this occurs, the procedure will be followed.
	<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?  (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:		
South Lake Tahoe Valley		246		
Evaluated by: Lieutenant T. Malo	Date: 12-29-2008			
Assisted by: OSSI Carol Tudesko / OA Stacie Brooks		Date: 12-29-2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				Lead Inspector's Signature:				
☐ Division Level ☐ Command Level				Walo	e			
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	0	2				
Fo	ollow-up Required: ☐ Yes	Follow-up Inspection	Command	er's Signature			Date: 12-29-2008	
For a	oplicable policy, refer to	b: HPM 11.1, Chapter 23		_				
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:		
2.	Does all X Number file STD. 204 Payee Data I	documentation contain the Record?	⊠ Yes	□No	□ N/A	Remarks:		
3.		g a contract (i.e., janitorial or approval from the Business ander?	⊠ Yes	□ No	□ N/A	Remarks: Ti accomplishe Section.	his has been d through Facilities	
4.	Are X Number requests services are performed	made prior to the date the ?	⊠ Yes	□No	□ N/A	Remarks:		
5.	Are X Numbers issued	for a one-time use?		□ No	□ N/A	Remarks:		
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:		
7.	Are X Numbers used fo service and not the pure		⊠ Yes	☐ No	□ N/A	Remarks:		
8.	Are X Numbers issued to related services pre-appreciated services pre-appreciations Services (Services Services Services Services Services Services Services (Services Services Services Services Services Services Services Services Services Services (Services Services Servic	proved by	☐ Yes	□No	⊠ N/A		ne Area has not recently by X-numbers for this	
9.		facilities related services ctrical) costing over \$1,000 n Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:		
10.	Do X Numbers issued for agreements have prior a Assistant Commissioner	approval by the appropriate	☐ Yes	□No	⊠ N/A		ne Area has not this situation,	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

4.4	De all V Nombre				
	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	☐ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: San Division: Valley		Chapter: 255-08-004 Cal-card	
Inspected by:		Date: 11/18/08	
Officer Kelly Abercrombie			

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION ☐ Division Level ☐ Command Level □ Appeal Included ☐ Executive Office Level Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Valley Division ⊠ No Yes Due Date: 12/18/08 Chapter Inspection: Inspector's Comments Regarding Innovative Practices: The OSSI has created a Calcard log where local numbers are assigned to each Calcard order/invoice. This allows easier reconciliation between the invoices, bank card log and the statements. Command Suggestions for Statewide Improvement: None.

Inspector's Findings:

Area OSSI, Automotive Technician, OA, Custodian and Special Duty officer are very aware of the policies surrounding the use of the Cal-Card Program.

On 11/17/08 the 78S form were completed by all appropriate employees.

#### COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

Page 2

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 Cal-Card Program
Inspected by: Officer Kelly Abercrombie		Date: 11/18/08

Commander's Response:	
Communication of Neoportoo.	

As of 11/17/08 all employees affiliated with the Cal-card program have completed a 78S.

Inspector's Comments:

N/A

Required Action

Corrective Action Plan/Timeline

Corrections made.

#### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 3

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 Cal-Card	
Inspected by: Kelly Abercrombie		Date: 11/18/08	

	the completed chanter inspection)
Appeal Process: (Appeals shall be filed within five (5) business days of	the completed chapter inspections.
Commander's Basis for Appeal:	
Commander a basis for Appeal.	
λ1/Λ	
N/A	
	*
	2
Appeal Review/Decision: (This shall be the only level of appeal).	
Appear Neview Decision. (This shall be the only level of appear).	
N/A	
Lead Inspector's Signature:	Date:
	11/17/08 Date: //
Responding Commander's Signature (for appeal):	Date:
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1.212	(1 1/2

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: San Andreas Area	Division: Valley	Number: 255-08-004 Cal-card	
Evaluated by:		Date:	
Officer Kelly Abercrombie		11/17/08	
Assisted by:		Date:	
OSSI J. Burkman		11/18/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Inspe	ector's Signat	ture:	
Div	vision Level	□ Command Level				
☐ Ex	ecutive Office Level	☐ Voluntary Self-Inspection	Valler	111-		
F	ollow-up Required: ☐ Yes	Follow-up Inspection	Compland	er's Signature	e: 	Date: 11/15/2006
For a	pplicable policy, refer t	o: HPM 11.2, Chapter 3				
1.	Card program complet Interest Statement, En		Yes	⊠ No	□ N/A	Remarks: Completed 78S 11/17/08 for all employees associated with Calcard. See attached,
2.		e Workplace certifications Cal Card command file for	⊠ Yes	□ No	□ N/A	Remarks: A binder contains vendors in alphabetical order with certifications, and Std. 21 and 204 attached.
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained and file for each vendor	⊠ Yes	□ No	□ N/A	Remarks: See Cal-card binder.
4.		d Waste Management Board aintained for each vendor	⊠ Yes	☐ No	□ N/A	Remarks: The recycled content certifications is sent to vendors as needed and maintained with invoices.
5.		business or DVBE is utilized, from the Department of tained in the file?	⊠ Yes	□No	□ N/A	Remarks: The DGS certification letters are maintained in the Cal-card binder.
6.	When fair and reasonal reasonable method doo justified?	ple is utilized, is the fair and cumented and properly	⊠ Yes	☐ No	□ N/A	Remarks: This is determined by using the CHP 315 and the OSSI's experience.
7	Are purchases split into to circumvent transaction	multiple transactions in order on purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks: Illegal
8.	Does the CHP 317 Cal purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks: Yes, and includes local assigned Cal-card log w/invoice number.
9.	Are bank statements re Cal Card Log and the re	conciled with the CHP 317 eccipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks: A review of the binder showed reconciliation between log

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cai-Card Program

10	. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks: A review of the Cal-card binder shows proper maintenance,
11	Are credit invoices/receipts for returned items maintained with the bank statement?	☐ Yes	□No	⊠ N/A	Remarks: This has seldom occurred.
12	Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊠ No	□ N/A	Remarks: Policy is being followed as referenced in HPM 11.2, Pg. 3-12.
13	Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks: Locked in OSSI's desk.
14	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks: Generally, but OSSI makes decisions when Lt, is not available.
15.	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks: None in the last 8 years with the current OSSI.

3 of 3

STATE OF CALIFORNIA , DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND MSPECTION PROGRAM INSPECTION CHECKLIST

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks
21	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22	. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?	☐ Yes	⊠ No	□ N/A	Remarks: Illegal. See HPM 11.2, Pg. 7-9.



## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: San Andreas Area	Division: Valley	CONTRACTS
Inspected by: Officer Kelly Abercrombie		Date: 10-22-08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Command Level		Appeal Included	
☐ Executive Office Level			
Follow-up Required:	Forward to: VAIVEY	Commander's Signature:	Date:
│ │ Yes │ │ No		1/1/ell	11/18/2008
	Due Date: <u> ⅔ /8/0</u> 8		
Chapter Inspection:			
Inspector's Comments Regar		ik den skipales oksa si kana eta eta eta e. Bi	
	9		
Very few service contracts or Reimbursable Services Agree of the agreement were review	ement with a Sacrament	e used by area. Area has one CHP- o Bicyclist Club for a ride held once	a year. Copies
Command Suggestions for St	atewide Improvement:		
8			
None.			
Inspector's Findings:			

No discernable deficiencies in procedures.

## **COMMAND INSPECTION PROGRAM** EXCEPTIONS DOCUMENT

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004
Inspected by: Officer Kelly Abercrombie		Date: 10/22/08

Page 2

Commander's Response:	
A	
N/A	
Inspector's Comments:	

N/A

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command: San Andreas Area	Division: Valley	Chapter: 255-08-004	
Inspected by: Office	r Kelly Abercrombie	Date: 10/22/08	

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Appeal Process: (Appeals shall be filed within five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:	rational algebra we said that at water will be
N/A	
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Appeal Povicy/Decision: (This shall be the only level of appeal	
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	Date
Appeal Review/Decision: (This shall be the only level of appeal).	Date.

1 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
San Andreas		CONTRACTS
Area	Valley	255-08-004
Evaluated by:		Date:
K. Abercrombie	e / 16054	10-22-08
Assisted by:		Date:
Jeanne Burkma	an / A05948	10-22-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Insp	ector's Signa	ture:		
Di	vision Level	☑ Command Level	1 1/6	r 4 /	,		
☐ Ex	ecutive Office Level	Voluntary Self-Inspection	Mu	l A A	/		
F <sub>1</sub>	ollow-up Required: ☐ Yes          No	☐ Follow-up Inspection	Command	der's Signatur	e: 	20	Date:
-			1	112			11/10/000
For a	pplicable policy, refer to	o: HPM 11.1, Chapter 22					
1.		Request used to initiate all are repetitive, regardless of ue?	⊠ Yes	□No	□ N/A	Remarks:	
2.	Is a CHP 78 Contract F services exceeding \$4,	Request used for one-time 999.99?	☐ Yes	⊠ No	□ N/A	Remarks:	
3.	Is the Office of Primary numbering beginning w three-digit location code contract payable listed	ith the requesting command used, followed by "CP" for	☐ Yes	□No	⊠ N/A	Remarks:	2
4.	Is the performance of coand documented?	ontract services monitored	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are all copies of correspondintained?	pondence with the vendor	⊠ Yes	□No	□ N/A	Remarks:	
2	which outline any proble non-performance of the		⊠ Yes	□ No	□ N/A	Remarks:	
	specifically and in as muCHP 78?	uch detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:	
8.	including the required do for expedite and emerge	approval/signature obtained, ocumentation and approvals ency contracts per HPM 11.1, arding the CHP 78 or CHP	⊠ Yes	□No	□ N/A	Remarks:	

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

				Y
<ol> <li>Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
				4
10. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	□No	⊠ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts				
increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks
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### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
l t	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	☐ No	□ N/A	Remarks:
	<ul> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> <li>(9) Graphic Arts Equipment Maintenance and Repair</li> <li>(10) Heating, Ventilation, and Air Conditioning Service</li> <li>(11) Laundry/Linen Service</li> <li>(12) Office Machine Maintenance and Repair</li> <li>(13) Painting Services (interior of facility)</li> <li>(14) Plumbing Services</li> <li>(15) Scale Maintenance and Repair</li> <li>(16) Steam Cleaning Services (Carpet, not scales)</li> <li>(17) Telephone Services (cellular, satellite, and regular)</li> <li>(18) Television Equipment Maintenance and Repair</li> <li>(19) Uninterruptible Power Supply Maintenance and Repair</li> </ul>				

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

07 4 11 11				
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. 1) Ch. 4, Section 4.09)	Yes	□No	⊠ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 Purchases			
Inspected by: Office	r Kelly Abercrombie	Date: 11/18/08			

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required,						
TYPE OF INSPECTION		☐ Corrective Action Plan Included				
☐ Division Level ☒ Command	Level	Appeal Included				
Executive Office Level						
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date:			
☐ Yes       No	Due Date: 12/18/08	7.0.6	12/18/2008			
Chapter Inspection:						
Inspector's Comments Rega	arding Innovative Practice	es:				
Policy in HPM 11.2, Chapter 7 is followed.						
Command Suggestions for S	Statewide Improvement:					
None.	¥		ê			
la constada Findinan			1			
Inspector's Findings:						

No discernable discrepancies found.

# **COMMAND INSPECTION PROGRAM**

**EXCEPTIONS DOCUMENT** Page 2

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 Purchases
Inspected by: Officer I	Kelly Abercrombie	Date: 11/18/08

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Consecutive numbering was done by hand on CHP 43 purchase requisitions. After REDS training the numbering system will be automatically done by the REDS program.

Inspector's Comments:

None

Required Action

Corrective Action Plan/Timeline

No corrective action needed.

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 Purchases
Inspected by: Officer	Kelly Abercrombie	Date: 11/18/08

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Appeal Process: (Appeals shall be file	d within five (5) business da	ays of the completed chapter inspec	tion).
Commander's Basis for Appeal:	FREE CO. S. P. W. Level B. D. S. C. S.		
Commander's basis for Appear.		/4	
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Appeal Review/Decision: (This shall t	be the only level of appeal).		
N/A			
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ead Inspector's Signature		Date:	
sponding Commander's Signature (for appeal)		11/18/08	
esponding Commander's Signature (for appeal)		Date:	

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command:	Division:	Number: 255-08-004
San Andreas Area	Valley	Purchases
Evaluated by:		Date: 11/18/08
Officer Kelly Abercrombie		
Assisted by:		Date: 11/18/08
OSSI J. Burkman		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature ☐ Division Level □ Command Level ☐ Executive Office Level □ Voluntary Self-Inspection Date: Follow-up Required: Follow-up Inspection ⊠ No Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: X Yes □ N/A command level familiar with the related policies and □ No procedures for purchasing? Have Approvers/reviewers of purchases received Remarks: ⊠ Yes □ N/A procurement training? ☐ No Are prohibited items procured on CHP 43, Purchases Remarks: ⊠ No □ N/A Requisitions? ☐ Yes Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, Remarks: The CHP 315 quotation prepared for commodity items obtainable from X Yes □ No □ N/A worksheet is used to get the lowest different suppliers or from different statewide bidder. commodity contracts? Is all required information entered on the CHP 43, Remarks: Purchase Requisition? N/A □ No 6. Are the CHP 43, Purchase Reguisitions, numbered Remarks: REDS trng. Received consecutively, starting anew at the beginning of each ⊠ Yes □ No □ N/A 11/5/08 and will be implemented fiscal year (July 1)? 11/17/08 Are expedited requests for the purchase of goods Remarks: Emergency Req. are forwarded to the Assistant Commissioner, Staff, for X Yes ΠNo N/A faxed to SSU who faxes to the Assist approval? Commissioner, Staff. These seldom

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks: A CHP 315 w/bid sheets attached
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11	. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks: Procedures are being followed in HPM 11.2, Pg. 7-8, Annex B.
12	. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	☐ No	□ N/A	Remarks:
13	. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□ No	□ N/A	Remarks: When this would occur we would use Annex B, HPM 11.2,
14	. Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	∏ No	□ N/A	Remarks: Procedures are being followed in HPM 11.2, Pg. 7-26.
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□ No	□ N/A	Remarks* If this occurs we would notify PSU by Memorandum. See HPM 11.2, Pg. 7-26
					<

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 X-Number Program
Inspected by Office	r Kelly Abercrombie	Date: 11/18/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included		
☐ Division Level ☐ Command Level		#1		
Forward to:	Commander's Signature:	Date:		
Due Date: 12/18/08	J. R. Felge	11/16/2008		
t og flyttet en en som ådet fra estte. De skalender				
orocedures.	Clerical staff, custodian, and autom	notive		
atewide Improvement:				
	Forward to: Valley Division  Due Date: 12/18/08  ding Innovative Practice  M 11., Chapter 23. The procedures.	Appeal Included  Attachments Included  Forward to: Valley Division  Due Date: 12/18/08  M 11., Chapter 23. The Clerical staff, custodian, and automorocedures.		

Policy is being followed.

Inspector's Findings:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

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Command: San Andreas Area	Division: Valley	Chapter: 255-08-004 X-Number Program		
Inspected by: Office	r Kelly Abercrombie	Date: 11/18/08		

Page 2	y.		19.1	
Commander's Response:				
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None.		*		
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Inspector's Comments:				
mspector's comments.	II.			
None.				
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Required Action		W. Benefitting Co. Williams Co. Co.		
TEQUITED ACTION	and the second s	E-W Commonweal Control of the	<b>北京城場出入京市。(2) 上海(森)</b>	

None.

Corrective Action Plan/Timeline

#### COMMAND INSPECTION PROGRAM

**EXCEPTIONS DOCUMENT** 

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Command: San
Andreas Area

Division: Valley
Chapter: 255-08-004
X-Number Program

Inspected by: Officer Kelly Abercrombie
Date: 11/18/08

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Appeal Process: (Appeals shall be filed within five (5) business days of	f the completed chapter inspection).
TERMS OF THE STATE	BALL OF SERENCER RESERVED TO A STREET OF STREET
Commander's Basis for Appeal:	
N/A	
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Appeal Review/Decision: (This shall be the only level of appeal).	
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N/A	
Load Inequator's Sungiture	Date:
Lead Inspector's Signature	
VILLY UN	11/17/08 Date:
Responding Commander's Signature (for appeal):	111.8 3008

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: San Andreas Area	Division: Valley	Number: 255-08-004 X-numbers
Evaluated by: Officer Kelly Abercrombie		Date: 11/18/08
Assisted by: OSSI J. Burkman		Date: 11/18/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE	OF INSPECTION		Lead Insp	ector's Signa	ture:	
☐ Di	vision Level	⊠ Command Level				
	recutive Office Level	☐ Voluntary Self-Inspection	WWW/	M		
F [	ollow-up Required: ☑ Yes	Follow-up Inspection	Command	der's Signatur	e:	11/18/24E
For a	pplicable policy, refer to	HPM 11.1, Chapter 23		ph. The state of t		
1.	Are multiple X Numbers to circumvent the \$4,999	awarded to the same vendor contract limit?	Yes	⊠ No	□ N/A	Remarks: No, this is prohibited in HPM 11.1-CH. 23, pg. 2
2.	Does all X Number file d STD, 204 Payee Data R	ocumentation contain the ecord?	⊠ Yes	☐ No	□ N/A	Remarks:
3.		a contract (i.e., janitorial or approval from the Business nder?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Are X Number requests r services are performed?		⊠ Yes	□No	□ N/A	Remarks:
5.	Are X Numbers issued for		⊠ Yes	□No	□ N/A	Remarks:
6.	Are prohibited services polynomber?	erformed using an X	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for t service and not the purch		⊠ Yes	☐ No	□ N/A	Remarks:
8.	Are X Numbers issued for related services pre-approached Telecommunications Sec	oved by tion?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Do X Numbers used for fa (such as roof repair, elect have prior approval from I	rical) costing over \$1,000	⊠ Yes	☐ No	□ N/A	Remarks:
10.	Do X Numbers issued for agreements have prior ap Assistant Commissioner?		☐ Yes	☐ No	⊠ N/A	Remarks: Because this is a leased facility, Facilities coordinated the Landscape contract for lapsed

2 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

144	DII V N		,	,	
	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks: 4 year retention per policy.



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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

#### **FXCFPTIONS DOCUMENT**

		/
Command: Sac CC	Division: Valle	Chapter: 3
Inspected by: Sergeant Richard I	Davis, #11471	Date: 12/23/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required. Corrective Action Plan Included TYPE OF INSPECTION ☐ Division Level ☐ Command Level ☐ Appeal Included ☐ Executive Office Level ☐ Attachments Included Commander's Signature: Date: Forward to: Follow-up Required: Valley Division 12/29/08 ⊠ No ☐ Yes Due Date: 12/31/08 Chapter Inspection: Inspector's Comments Regarding Innovative Practices: None. Command Suggestions for Statewide Improvement: None.

In response to a Comm-Net Message dated September 22, 2008, Sacramento Communications Center conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command X-Number Program Inspection Checklist

Inspector's Findings:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Valley	Chapter:	Ī
Sacramento CC	Valicy	Date:	7
Inspected by: Sergeant Richard	Davis, #11471	12/23/08	

Page 2

Commander's Response:	·
Inspector's Comments:	

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:	esh
Sacramento CC	Division	3	
Inspected by: Sergeant Richard	Davis, #11471	Date: 12/23/08	

Page 3

(2012年) [10.5] (A.S.)	with the company of the party o
Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspections.
Commander's Basis for Appeal:	
N/A	
	24
Appeal Review/Decision: (This shall be the only level of appeal).	
N/A	
Lead Inspector's Signature:	Date:
	12/23/08
Responding Commander's Signature (for appeal):	Date:
Responding Community of Signature (10) September	
19	

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STATE OF CALIFORNIA
DEPARTME\* CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Sac. Comm Center	Division: Valley Division	Number: 214	
Evaluated by: Sgt. Richard Davis #11		Date: 12/23/2008	
Assisted by: Rose Jauregui, OSSI		Date: 12/23/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

IYP	E OF INSPECTION		Lead In	spector's Sig	noture.			
	Division Level 🛛 Command Level		Load III	spector's Sig	nature:			
	Executive Office Level		1		lh	) dt4	H Sc=	
	Follow-up Required: ☐ Follow-up Inspect ☐ Yes   ☑ No	ion	Comman	nder's Signat	ure: Aron	^	Date: 12-29.08	-
	applicable policy, refer to: HPM 11.2, Chapter 3				0			
	Are all employees associated with the use of the Card program completing the CHP 78S, Conflict Interest Statement, Employee, form?  Are STD 21 Drug Free Model.	Cal- of	⊠ Yes	□ No	□ N//	Remarks: Al	Il Employees have ip-dated forms.	_
	2. Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?		☐ Yes	□ No	⊠ N/A	Remarks:		
	Are STD. 204 Payee Data Record forms maintain in the Cal Card command file for each vendor utilized?		☐ Yes	□No	⊠ N/A	Remarks:		
4.	Form 74 documents maintained for each vendor utilized?		☐ Yes	□No	⊠ N/A	Remarks:		
5.	is the certification letter from the Department of General Services maintained in the file?		☐ Yes	□No	⊠ N/A	Remarks:		
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?		⊠ Yes	☐ No	□ N/A	Remarks:		
	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	er [	Yes	⊠ No	□ N/A	Remarks:		-
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	D	Yes	□No	□ N/A	Remarks:		1
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?		Yes	□No	□ N/A	Remarks:		
	1)							11

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items		(AMESSIN SOCIAL		
with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices				
document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?				
	⊠ Yes	□ No	- NVA	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	24 .00	140	□ N/A	remarks.
soffmander?	⊠ Yes	☐ No	□ N/A	Remarks:
Have all cardholders received training on the	X-2-1 15/54			
procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
6. Are item(s) purchased with the Cal Card prohibited			2-2 100000	
by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF ALIFORNIA
DEPARTML "GF CALIFGRNIA HIGHWAY PATROL

## COMMA ID INSPECTION PROGRAM INSPECTI CHECKLIST

Chapter 3, C mand Procurements
Contracts

Command: Sac. Comm. Center	Division: Valley Division	Number 214	
Evaluated by: Sgt. Richard Davis #1		Date: 12/23/2008	
Assisted by: Rose Jauregui, OSSI		Date: 12/23/2008	

INSTRUCTIONS: Ans er individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level □ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: ☐ Follow-up Inspection Signature: ☐ Yes ⊠ No For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of ✓ Yes ☐ No Remarks: □ N/A the estimated dollar value? Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99? ☐ Yes Remarks: ☐ No ⊠ N/A Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command ✓ Yes Remarks: three-digit location code used, followed by "CP" for ☐ No □ N/A contract payable listed on the CHP 78? 4. Is the performance of contract services monitored and documented? ☑ Yes Remarks: □No □ N/A 5. Are all copies of correspondence with the vendor maintained? ⊠ Yes □ No Remarks: □ N/A 6. Are letters for contracts documented and maintained which outline any problems related to substandard or ☐ Yes Remarks: □ No ⊠ N/A non-performance of the vendor? 7. Is the final product to be delivered described specifically and in as much detail as possible in the ⊠ Yes Remarks: □ No □ N/A CHP 78? Are all required levels of approval/signature obtained, including the required documentation and approvals ⊠ Yes Remarks: for expedite and emergency contracts per HPM 11.1, ☐ No  $\square$  N/A Chapter 22, before forwarding the CHP 78 or CHP 78A?

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

1			
ct Ye	s 🗆 N	o 🛭 🖾 N/	A Remarks:
			1
? Xes	s No	D	Remarks:
⊠ Yes	i □ No	D □ N/A	Remarks:
⊠ Yes	☐ No	□ N/A	Remarks:
⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
☐ Yes	□No	⊠ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks: All employees have completed up-dated forms.
☐ Yes	□No	⊠ N/A	Remarks:
☐ Yes	⊠No	□ N/A	Remarks:
	?	?	?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21 Is the length of the contract amond-				
21. Is the length of the contract amendment request more than one year?	⊠ Yes	□ No	□ N/A	Remarks: 3 Year Contracts
22. Are amendments requested before the expiration of the original contract?	⊠ Yes	□No	□ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	⊠ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks: (4) Janitorial Services
(1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation	⊠ Yes	□No	□ N/A	Remarks: (17) Telephone Services (cellular, satellite, and Regular)
(3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair				
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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information		_			
forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Ye	s N	0   N	/A Remarks:	
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	S No	D   N/	A Remarks:	
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	Yes	□ No	D N/A	Remarks:	
30. Is a log sheet maintained for a diary of activities related to the contract?  31. Is a computer file prepared for all contracts	⊠ Yes	☐ No	□ N/A	Remarks:	
auministered?	⊠ Yes	☐ No	□ N/A	Remarks:	
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:	
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□ No	□ N/A	Remarks:	
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:	
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	, 🗌 No	⊠ N/A	Remarks:	1
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:	
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:	
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks:	
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Command: Division: Sac. Comm. Center Valley Division		Number: 214
Evaluated by: Sgt. Richard Davis 11	471	Date: 12/23/2008
Assisted by: Rose Jauregui, OSSI	la la	Date: 12/23/2008

INSTRUCTIONS: Answer individual items with "Yes" or "No" ans applicable legal statues, or deficiencies noted in the inspections s discrepancies and/or deficiencies shall be documented on an Exc Furthermore, the Exceptions Document shall include any follow-u Inspection, the "Follow-up Inspection" box shall be marked and or	eptions Doc	ument and a	addressed	narks section to the next lev	- Additionally	/ cuch
TYPE OF INSPECTION			00 10 1113	pected.		
	Lead In	spector's Sigi	nature:			
☐ Division Level ☐ Command Level			~~	_		
☐ Executive Office Level ☐ Voluntary Self-Inspection	on   _	UL	LI.	)	1/1/21	Str
Follow-up Required:  Yes No Follow-up Inspection	Comma	der Signati	ure:	2	Date:	S6T 9.08
For applicable policy, refer to: HPM 11.2, Chapter 7			0		1	
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:		
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:		
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>	Yes	⊠ No	□ N/A	Remarks:		
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>						
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:		
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks;		
6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	⊠ Yes	□No	□ N/A	Remarks:		
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Do specialized items purchased contain the				
	appropriate Division, and/or OPI approvals?	⊠ Yes	S No	)     N/	A Remarks:
	9. Are the CHP 43, Purchase Requisitions, competitively bid?  10. December 2018 245 255 255 255 255 255 255 255 255 255	⊠ Yes	□ No	□ N//	Remarks: Only when specifically needed.
	10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
	11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□No	⊠ N/A	Remarks:
	13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
	14. Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
	15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
	17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
	19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

-	20 le Durchaging Caprises Hait (DOLD)				
	20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
	21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
	22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
	23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
	24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFO COMMAND INC.

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#### **\_CTION PROGRAM**

Chapter 3, Command Procurements X-Number Program

INSPECTION CHECKLIST

Command: Sac. Comm. Center	Division: Valley Division	Number: 214
Evaluated by:		Date:
Sgt. Richard Davis #11471		12/23/2008
Assisted by:		Date:
Rose Jauregui, OSSI		12/23/2008

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: ☐ Division Level □ Command Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: ☐ Follow-up Inspection Commander & Signature: | Yes ⊠ No For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit? ☐ Yes Remarks: ⊠ No □ N/A 2. Does all X Number file documentation contain the STD. 204 Payee Data Record? Remarks: ☐ Yes ☐ No ⊠ N/A 3. Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Remarks: Yes ☐ No □ N/A Services Section commander? 4. Are X Number requests made prior to the date the services are performed? ☑ Yes ☐ No Remarks: ☐ N/A 5. Are X Numbers issued for a one-time use? ✓ Yes П No Remarks: ☐ N/A 6. Are prohibited services performed using an X Number? Remarks: ☐ Yes ⊠ No □ N/A 7. Are X Numbers used for the procurement of a service and not the purchase of a commodity? Remarks: ⊠ Yes □ N/A ☐ No 8. Are X Numbers issued for telecommunications related services pre-approved by Remarks: Yes □ No ⊠ N/A Telecommunications Section? 9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 Remarks: ☐ Yes ☐ No  $\bowtie$  N/A have prior approval from Facilities Section? 10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate ☐ Yes ☐ No Remarks: ⊠ N/A Assistant Commissioner?

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STATE OF CALIFORNIA DEPARTMENT OF CALIFO

JIGHWAY PATROL

## COMMAND IN ECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

4 4	D = - 11 V A).				
	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	☐ No	⊠ N/A	Remarks:
	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMEN	EXCEPTI	ONS	DOC	JMEN.
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		UIDV
Command: 245-Placerville	Division: Valley	Chapter 3
Inspected by: J. MacDowell, #	± ±10209	Date: 12/16/08
J. MacDovon, 1	100000000000000000000000000000000000000	

EXCEPTIONS DOCUMEN		cu in the blanks as indica	ted. Enter the chapter
INSTRUCTIONS: This document shall number of the inspection in the Chapte shall be routed to and its due date. Thi improvement, identified deficiencies, coadditional space is required.	be typed. Check appropriate r Inspection number. Under "is s document shall be utilized to prective action plans, and may	boxes as necessary, or fill in the blanks as indical Forward to:" enter the next level of command when document innovative practices, suggestions for y be used to appeal findings. A CHP 51 Memoral	ere the document statewide ndum may be used if
TYPE OF INSPECTION  Division Level Command L  Executive Office Level  Follow-up Required:  Yes	evel  Forward to:  Due Date:	Corrective Action Plan Included  Appeal Included  Attachments Included  Commander's Signature:	Date:
Chapter Inspection: Inspector's Comments Rega	rding Innovative Pract	ices:	
Command Suggestions for S	Statewide Improvemer	nt:	
a a			

Inspector's Findings:

There were basically no corrective measures identified with respect to Area's use and issuance of X numbers.

X number Section 13 – the inspection revealed that file documentation, including Area SOP, has not been updated to reflect current policy relating to the STD 21 Drug Free workplace certification for X number vendors.

#### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Corrective Action Plan/Timeline

Page 2

Division: Valley	Chapter: 3
	Date: 12/16/08
	1. Carlo 1.

Commander's Response:	
Placerville Area will update file documentation by 3/1/09.	
•	
Inspector's Comments:	
	WE AN THE SERVICE LEVEL IN
Required Action	

X Number Section 13 – The Command will update file documentation for X numbers. Specifically, the STD 21 certification for X Number vendors. Additionally, the Area SOP will also be updated to reflect current changes to the X Number program. This will be completed no later than March 1, 2009.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Division: Chapter: 3
Inspected by: Daver 12/16/08

Page 3

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

SM14	Date:
Lead Inspector's Signature:	
	Date:
Responding Commander's Signature (for appeal):	

. .... .... ...

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Division: Valley		Number:
Evaluated by: Dee Dee Troutte OSS1		Date: 03/04/2009
Assisted by: T. Brown, Sgt		Date: 03/04/2009

discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level Division Level ☐ Executive Office Level Commander's Signature: ☐ Follow-up Inspection Follow-up Required: Yes ⊠ No For applicable policy, refer to: HPM 11.2, Chapter 3 1. Are all employees associated with the use of the Cal-Remarks: □ N/A ☐ No Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? Are STD. 21 Drug Free Workplace certifications Remarks: □ No □ N/A maintained within the Cal Card command file for ✓ Yes each vendor utilized? 3. Are STD. 204 Payee Data Record forms maintained Remarks: □ N/A □No X Yes in the Cal Card command file for each vendor utilized? Are California Integrated Waste Management Board Remarks: □ N/A ⊠ No Form 74 documents maintained for each vendor ☐ Yes utilized? If the vendor is a small business or DVBE is utilized, Remarks: □ N/A □ No X Yes is the certification letter from the Department of General Services maintained in the file? When fair and reasonable is utilized, is the fair and Remarks: □ N/A ☐ No reasonable method documented and properly justified? 7. Are purchases split into multiple transactions in order Remarks: □ N/A ⊠ No ☐ Yes to circumvent transaction purchase limits? Does the CHP 317 Cal Card Log fully describe the Remarks: □ N/A X Yes ∏ No purchase? Are bank statements reconciled with the CHP 317 Remarks: □ N/A □ No X Yes Cal Card Log and the receipts/invoices?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	CHP 317 Cal Card Log properly authorized naintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are cr maint	redit invoices/receipts for returned items ained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
docur quant	on-itemized purchase receipts/invoices ment the purchase by listing the commodity, city, and unit price of the item(s) purchased on ank statement.	⊠ Yes	□No	□ N/A	Remarks:
13. Are C	al Cards maintained in a secure area?	⊠ Yes	□ No	□ N/A	Remarks:
	cal Card purchases pre-approved by the nander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have Depa	all cardholders received training on the rtment's procurement processes?	⊠ Yes	☐ No	□ N/A	Remarks:
16. Are it	em(s) purchased with the Cal Card prohibited partmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Placerville	Division: Valley	Number:
Evaluated by: Dee Dee Trou		Date: 03/04/2009
Assisted by: T. Brown, Sgr		Date: 03/04/2009

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers applicable legal statues, or deficiencies noted in the inspections shall I discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only defined the shall be shall be marked and only defined the shall be s	ns Documen	it and addre e action(s) t	ssed to the aken. If thi	s form is use	
	Lead Inspect				
TYPE OF INSPECTION	Lead Moposi				
☐ Division Level ☐ Command Level			238		
☐ Executive Office Level ☐ Voluntary Self-Inspection	Commander	's Signature:	<i></i>		Date:
Follow-up Required:	WIL	onun	<i></i>		3/4/2009
For applicable policy, refer to: HPM 11.1, Chapter 22					
Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	⊠ Yes	□No	□ N/A	Remarks:	
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	⊠ Yes	□No	□ N/A	Remarks:	
Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks:	
Is the performance of contract services monitored and documented?	⊠ Yes	☐ No	□ N/A	Remarks:	
Are all copies of correspondence with the vendor maintained?	⊠ Yes	□ No	□ N/A	Remarks:	
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	□No	□ N/A	Remarks:	
7. Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	⊠ Yes	□No	□ N/A	Remarks:	
<ol> <li>Are all required levels of approval/signature obtained including the required documentation and approvals for expedite and emergency contracts per HPM 11.1 Chapter 22, before forwarding the CHP 78 or CHP 78A?</li> </ol>	<u> </u>   <u> </u>   <u> </u>	□No	□ N/A	Remarks:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than months from the anticipated start date of the pre-approved by Assistant Commissioner, S expedited processing?	Contract	⊠ Yes	□ No	□ N/A	Remarks:
Is all work completed and accepted by the Department before expiration of contract agreements	reement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to quality, quantity, objectives, timeframes, and manner specified in the contract (e.g., review progress reports and interim products)?	a III tilo	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and app substantiate expenditures for work performe prevent penalties being assessed?	roved to ed and to	⊠ Yes	□No	□ N/A	Remarks:
13. Are contract expenditures monitored to ens are <u>sufficient funds</u> to pay for all services re as required by contract?	ure there endered	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has all requirements of the contract before apprefinal invoice?	s fulfilled roving the	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, appropriate and forwarded to Fiscal Manag Section for payment?	as gement	⊠ Yes	□ No	□ N/A	Remarks:
16. Are all applicable form sections of the CHF completed?	78	⊠ Yes	☐ No	□ N/A	Remarks:
17. Do emergency contracts document and just sudden, unexpected occurrence that poses and imminent danger, requiring immediate mitigate the loss or impairment of life, heal property, or essential public services?	action to	⊠ Yes	□ No	□ N/A	Remarks:
18. Are all employees associated with the mar of a contract completing the CHP 78S, Co Interest Statement, Employee, form?	nagement nflict of	⊠ Yes	□ No	□ N/A	Remarks:
<ol> <li>Are problems concerning the contractor's performance fully documented in writing a part of the contract manager's contract file</li> </ol>	nd made a e?	⊠ Yes	□ No	□ N/A	Remarks:
20. Are contract amendment request dollar ar increased more than 30%?	nounts	☐ Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is	s the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22. <i>F</i>	Are amendments requested before the expiration of he original contract?	⊠ Yes	□No	□ N/A	Remarks:
ii r t	s a service contract on a CHP 78, Contract Request nitiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
r	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
l i	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□No	⊠ N/A	Remarks:
	<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	⊠ Yes	☐ No	□ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	☐ No	□ N/A	Remarks:
34	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
35	<ul> <li>Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)</li> </ul>	⊠ Yes	☐ No	□ N/A	Remarks:
36	. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊠ Yes	□No	□ N/A	Remarks:
37	. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38	. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□ No	□ N/A	Remarks:
39	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

\$1,		Page 1 of
Command: Placerville	Division: Valley	Number:
Evaluated by: Dee Dee Trou		Date: 03/04/2009
Assisted by: T. Brown, Sg		Date: 03/04/2009

1 of 3

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, applicable legal statues, or deficiencies noted in the inspections shall be discrepancies and/or deficiencies shall be documented on an Exception Furthermore, the Exceptions Document shall include any follow-up and Inspection, the "Follow-up Inspection" box shall be marked and only defined the shall be shall be marked and only defined the shall be shall be shall be marked and only defined the shall be shall	ns Document	and address	aken. If this	form is use	cies with policy, Iditionally, such f command. ed as a Follow-up
Inspection, we					
TYPE OF INSPECTION  Division Level  Command Level	Lead Inspecto	ors Signature			
☐ Executive Office Level ☐ Voluntary Self-Inspection	1.	14738			Date:
Follow-up Required:  Yes No Follow-up Inspection	Commander's Signature:				3/4/2009
For applicable policy, refer to: HPM 11.2, Chapter 7					
Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	.□ No	□ N/A	Remarks:	
Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:	
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	Yes	⊠ No	□ N/A	Remarks:	
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>					
Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:	
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□ No	□ N/A	Remarks:	
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:	
<ol> <li>Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:	

#### COMMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

	Т				
8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	Yes	□No	⊠ N/A	Remarks:
14	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
1!	5. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
1	6. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	i No	□ N/A	Remarks:
1	7. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Ye	s No	D □ N/A	Remarks:
-	Is the original "received copy" retained by the command for completion and forwarding to the FMS	⊠ Ye	s No	o □ N/.	A Remarks:
	when the complete shipment is received?  9. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's drive before being accepted?		es N	o N/	A Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

i } ( (	is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
	Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24.	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: 245-Placerville	Division: Valley	Chapter:
Evaluated by:  J. MacDowell #1	Date: 12/16/08	
Assisted by:		Date:

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION			Lead Inspector's Signature:			
☐ Division Level ☐ Command Level			0 0 0		.11	
☐ Executive Office Level ☐ Voluntary Self-Inspection			Job Mirelow Com			
Follow-up Required:	Follow-up Inspection	Command	John Michaell  Commander's gignature:  Date:  12/19/08  Tornum 3/4/2009			
For applicable policy, refer to: HPM 11.1; Chapte: 23		Twy	Dur	ı	12/19/08	
to circumvent the \$4,9	,	☐ Yes	⊠ No	□ N/A	Remarks:	
STD. 204 Payee Data		⊠ Yes	□No	□ N/A	Remarks:	
3. Do X Numbers requiri landscaping) have pri Services Section com	ng a contract (i.e., janitor al or or approval from the Business mander?	☐ Yes	□No	⊠ N/A	Remarks:	
services are performe		⊠ Yes	□No	□ N/A	Remarks:	
5. Are X Numbers issued		⊠ Yes	□No	□ N/A	Remarks:	
6. Are prohibited service Number?		☐ Yes	⊠ No	□ N/A	Remarks:	
	rchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
related services pre-ap Telecommunications S	Section?	Yes	□No	⊠ N/A	Remarks: Placerville Area has never requested an X number for any telecommunications related services.	
(such as roof repair, el have prior approval fro		⊠ Yes	□No	□ N/A	Remarks:	
<ol> <li>Do X Numbers issued agreements have prior Assistant Commissione</li> </ol>	approval by the appropriate	⊠ Yes	□No	□ N/A	Remarks:	

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks: File documentation needs to be updated, including SOP, indicating STD 21 certificiation.
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CÂLIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

Page 1 of 3

Command: Oroville	Division: Valley	Chapter:
Inspected by: Perlstein		Date: 12/18/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.						
TYPE OF INSPECTION		Corrective Action Plan Included				
☐ Division Level ☒ Command	Level	Appeal Included				
Executive Office Level		Attachments Included				
Follow-up Required:	Forward to:	Commander's Signature:	Date:			
☐ Yes		W. Porison	12/22/08			
Chapter Inspection:			- Lace of Lace Me			
Inspector's Comments Rega	rding Innovative Practice	es:				
Command Suggestions for S	tatewide Improvement:					
Inspector's Findings:						

Area command is aware of the responsibility and importance of proper purchasing and procurement processes. The office services supervisor, Joyce Gutierrez, is knowledgeable and conscientious regarding maintaining proper controls.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PRO

COMMAND INSPECTION PROGRAM

Page 2 of 3

Command:	Division:	Chapter:	
Oroville	Valley	3	
Inspected by: Peristein		Date: 12/18/08	

Commander's Response:	
Commander acknowledges the findings.	
•	

Inspector's Comments:

Not applicable.

Required Action

Corrective Action Plan/Timeline

STATE OF CALIFORNIA

Command: Oroville	Division: Valley	Chapter:
Inspected by: Peristein		Date: 12/18/08

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL	Oroville	Valley	3
COMMAND INSPECTION PROGRAM Page 3 of 3	Inspected by: PerIstein		Date: 12/18/08

Appeal Process: (Appeals shall be filed within five (5) business days of the	completed chapter inspection).
Commander's Basis for Appeal:	
Appeal Review/Decision: (This shall be the only level of appeal).	
W	
Lead inspector's Signature:	Date:
	12-22-8 Date:
Responding Commander's Signature (for appeal):	Dutc.

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:			
Oroville	Valley	240			
Evaluated by:		Date:			
Perlstein					
Assisted by:		Date:			
Gutierrez		12/18/08			

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE (	OF INSPECTION		Lead Inspe	ector's Signat	ure:			
☐ Div	vision Level	⊠ Command Level	1	)				
☐ Executive Office Level ☐ Voluntary Self-Inspection			W. VERLITER					
Fo	ollow-up Required:	Follow-up Inspection	Command	er's Signature			Date:	
	☑ Yes			· linus	nov-		1,7 0,3	12-8
For a	pplicable policy, refer t	o: HPM 11.2, Chapter 3						
	Card program complet Interest Statement, En		⊠ Yes	☐ No	□ N/A	Remarks:		
2.		e Workplace certifications Cal Card command file for	⊠ Yes	☐ No	□ N/A	Remarks:		
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained and file for each vendor	⊠ Yes	□No	□ N/A	Remarks:	Þ	
4.		ed Waste Management Board aintained for each vendor	⊠ Yes	□No	□ N/A	Remarks:	X	
5.		business or DVBE is utilized, from the Department of tained in the file?	Yes	□ No	□ N/A	Remarks:		
6.	When fair and reasona reasonable method doo justified?	ble is utilized, is the fair and cumented and properly	☐ Yes	□ No	⊠ N/A	Remarks:		
7.	to circumvent transaction	-	☐ Yes	⊠ No	□ N/A	Remarks:		
8.	purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:		
9.	Are bank statements re Cal Card Log and the re	conciled with the CHP 317 eceipts/invoices?	⊠ Yes	□ No	□ N/A	Remarks:		

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

**INSPECTION CHECKLIST** 

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	☐ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items     maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	□ No	⊠ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Oroville	Division: Valley	Number: 240		
Evaluated by: Peristein		Date:		
Assisted by: Gutierrez		Date: 12/18/08		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level ☐ Division Level Folia Top □ Voluntary Self-Inspection ☐ Executive Office Level Confirmander's Signature: Follow-up Inspection Follow-up Required: 12.22.08 Yes ⊠ No For applicable policy, refer to: HPM 11.1, Chapter 22 Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A X Yes ☐ No service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: ⊠ N/A ☐ Yes □ No services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: numbering beginning with the requesting command ☐ Yes ☐ No ⊠ N/A three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks:  $\square$  N/A □ No and documented? 5. Are all copies of correspondence with the vendor Remarks: ⊠ Yes ☐ No  $\square$  N/A maintained? Are letters for contracts documented and maintained Remarks: N/A No which outline any problems related to substandard or ☐ Yes non-performance of the vendor? Is the final product to be delivered described Remarks:  $\bowtie$  N/A specifically and in as much detail as possible in the ☐ Yes No CHP 78? 8. Are all required levels of approval/signature obtained, Remarks: ☐ No ⊠ N/A including the required documentation and approvals ☐ Yes for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□ No	⊠ N/A	Remarks:
10	. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□No	⊠ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	☐ Yes	· No	⊠ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	□No	□ N/A	Remarks:
20.	Are contract amendment request dollar amounts				Remarks:
	increased more than 30%?	☐ Yes	☐ No	⊠ N/A	T.G.T.G.T.G.

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	. Is the length of the contract amendment request more than one year?	☐ Yes	☐ No	⊠ N/A	Remarks:
22	. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site)	⊠ Yes	□No	□ N/A	Remarks:
26	<ul><li>(4) Janitorial Services</li><li>(5) Consulting Services</li></ul>				
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	∀es	□No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	☐ No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□ No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	☐ No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Oroville	Division: Valley	Number: 240		
Evaluated by: PerIstein		Date:		
Assisted by:		Date:		
Gutierrez		12/18/08		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Lead Inspector's Signature: Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Follow-up Required: Commander's Signature: Date: ☐ Follow-up Inspection Yes ⊠ No ERC3501 12-27.08 For applicable policy, refer to: HPM 11.2, Chapter 7 Are participants in the procurement process at the command level familiar with the related policies and X Yes Remarks: ☐ No □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received procurement training? Remarks: ☐ No □ N/A 3. Are prohibited items procured on CHP 43, Purchases Requisitions? Remarks: ☐ Yes ⊠ No □ N/A Supplies for personally – owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from Remarks: Office Depot □ No N/A different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Purchase Requisition? Remarks: □ N/A ΠNo 6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each Remarks: □ No □ N/A fiscal year (July 1)? Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for ⊠ Yes Remarks: No □ N/A approval?

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

777	8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
	9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
	10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
	13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
	14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
	15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
	16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
	17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
		Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
	19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	☐ No	⊠ N/A	Remarks:
1			1	1	1	

#### - COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements **Purchases** 

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21	Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22	. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23	Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24	Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Oroville	Division: Valley	Number: 240		
Evaluated by: Perlstein		Date:		
Assisted by: Gutierrez		Date: 12/18/08		

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION	Lead Inspe	ector's Signati	ure:		
☐ Div	rision Level	<b> </b>   <b> </b>	رل ر			
☐ Exe	ecutive Office Level		.16	Logor		
Fo	ollow-up Required:	Conmand	er's Signature	:		Date:
	] Yes 🔀 No		· Fun	200		13-77-8
For a	oplicable policy, refer to: HPM 11.1, Chapter 23					
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:	
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	⊠ Yes	□No	□ N/A	Remarks:	
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:	
5.	Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:	
6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks:	
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	Yes	□No	⊠ N/A	Remarks:	
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	□ No	□ N/A	Remarks:	
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks:	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11	. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13	. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks:
14	. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15	. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

Command: 250	Division:  Valley Division	Chapter:
Inspected by: Lieutenant A	A. Ornelas	Date: 12/09/2008

COMMAND	INSPECTION PROGRA	Μ
<b>EXCEPTIO</b>	S DOCUMENT	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION		Corrective Action Plan Included				
☐ Division Level ☐ Command Level		Appeal Included				
☐ Executive Office Level		☐ Attachments Included				
Follow-up Required:  ☐ Yes ☑ No	Forward to:	Commander's Signature:	Date:			
Chapter Inspection: Cal-	Due Date:					
Inspector's Comments Regarding Innovative Practices:						

Command Suggestions for Statewide Improvement:

Provide adequate training to personnel entrusted to purchase items through the procurement process.

Inspector's Findings:

The Area currently has three Cal-Cards. One Cal-Card is used to purchase office supplies, the second is used for janitorial supplies, and the third is used for authorized automotive supplies. Prior to any purchase being made, personnel received verbal authorization.

Card holders have not received adequate departmental training in the procurement process.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: 250	Division: 201	Chapter:
Inspected by:	Ornelas	Date: 12/09/2008

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Commander's Response:	ria) :

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

### STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

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Command: Division: 250 201		Chapter:		
Inspected by: Lieutenant A. Ornelas		Date: 12/09/2008		

Appeal Process: (Appeals shall be filed within five (5) I	ousiness days of the completed chan	torinsportion) was a server of
	out measure year and the comprehensive properties.	termispection).
Commander's Basis for Appeal:	All the Miles of the Walls of the state	Carlin of Surveyers on the Sand Const.
경우 선생님은 그 모든 보는 것은 것이 없는데 없었다.		
마셨다면요 하는 아이들에 보고 있었다. 그 바로 없었다.		
행성한 개통하게 하는 이렇게 된 집 말이 되는데 이렇다는		
생활 중심하다 시크로 맛드리고 있는데 맛이 되었다.		
Appeal Poviow/Decision: (7)		
Appeal Review/Decision: (This shall be the only level of	of appeal).	
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espanding Commandata Signature (for	12-9.08	
esponding Commander's Signature (for appeal):	Date:	WAR SEA TO SEE FAIR VON

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKERST

Chapter 3, Command Procurements Cal-Card Program

TYPE OF INSPECTION

Command: Division: Valley Division		Number:	
Evaluated by: Lieutenant A. C	Date: 12/09/2008		
Assisted by: OA Valerie Pontarelli		Date: 12/09/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

			Lead Inspector's Signature:			
☐ Division Level ☐ Command Level				ni		
E:	xecutive Office Level	ı	ノし	Mr.	LA. 11490	
¥ .F	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Somman	de s signatu	re:	Date: 0/08	
For a	applicable policy, refer to: HPM 11.2, Chapter 3					
	Are all employees associated with the use of the Cal Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:	
2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:	
3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:	
4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks:	
5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:	
6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□No	⊠ N/A	Remarks:	
7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks: The budget restraints implemented at the end of the fiscal year make it appear as if the transactions were split.	
8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:	
9,	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks:	
HP 680D (	Rev. 09-08) OPI 010	212302100001	retails make	Supplied States	在1000年中,1000年中,1000年100日,1000年10日,	

Remarks:

STATE OF CALIFORNIA DEPARTMENT OF CALIFO

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16. Are item(s) purchased with the Cal Card prohibited

by departmental policy?

COMMAND IN:

IN PROGRAM

INSPECTION CHIEU: LIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained? Yes Remarks: ☐ No N/A 11. Are credit invoices/receipts for returned items maintained with the bank statement? X Yes □ No Remarks: N/A 12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, Yes Remarks: The bank statements do No. □ N/A quantity, and unit price of the item(s) purchased on not reflect itemized items. However, the bank statement. the invoices and purchase orders do. 13. Are Cal Cards maintained in a secure area? X Yes Remarks: Card holders are required No □ N/A 14. Are Cal Card purchases pre-approved by the to secure the cal-card. commander? X Yes ☐ No Remarks: ☐ N/A 15. Have all cardholders received training on the Department's procurement processes? Remarks: ☐ Yes ⊠ No ☐ N/A

☐ Yes

⊠ No

☐ N/A

### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division:		Chapter:	
250 201		3 - Contracts	
Inspected by:		Date:	
Lieutenant A. Ornelas		12/05/08	

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

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TYPE OF INSPECTION  ☐ Division Level ☐ Comm ☐ Executive Office Level	and Level	☐ Corrective Action Plan Included ☐ Appeal Included ☑ Attachments Included	
Follow-up Required:	Forward to:	Commander's Signature:	Date:
☐ Yes   ☑ No	Due Date:	_ & Chilber	Belnie
Chapter Inspection: Cha	pter 3, Contracts		
Inspector's Comments Re	egarding Innovative Pr	ractices:	
Command Suggestions for	r Statewide Improvem	nent:	
Inspector's Findings:			

The North Sacramento Area currently does not have any outstanding, in-process, or pending contracts.

The tow evidence contract is being managed by Valley Division. The Area, up until recently, did not see the invoices being submitted by the tow company. A procedure has been implemented to have the tow company route the invoice to the Area and then the Area will reconcile and route the invoice to Valley Division for payment.

All other contracts are managed by Facilities Section.

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL
COMMAND INSPECTION PROGRAM
EXCEPTIONS DOCUMENT

Command: Division: Chapter:
250 201 3 - Contracts
Inspected by: Date:
Lieutenant A. Ornelas 12/05/08

Page 2

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
250	201	3 - Contracts
Inspected by:		Date:
Lieutenant A. Ornelas		12/05/08

Page 3

	THE RESIDENCE OF THE PROPERTY
	(5) business days of the completed chapter inspection).
Commander's Basis for Appeal:	
	기가 있는 경에 하는 말을 가지 못했다. 하는 모든
ppeal Review/Decision: (This shall be the only lev	vel of appeal).
d Inspector's Signature	Date:
ponding Commander's Signature (for appeal):	19-65-08 Date:

Page

1 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: 250	Division: Valley Division	Number:
Evaluated by: Lieutenant A. O	rnelas	Date: 12/05/08
Assisted by: OA Valerie Pont	arelli	Date: 12/05/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	NAME OF BRIDE	Lead Inc	pector's Sign	aturo:		
☐ Division Level ☐ Com	nmand Level	Constitution	)( )	1	) . II492	
The part of the first the second of the seco	ntary Self-Inspection				]. 1149c	)
Follow-up Required:	ollow-up Inspection	Comman	der s Signatu	18: Der		Date:
For applicable policy, refer to: HPM	11.1, Chapter 22	7				
Is a CHP 78 Contract Request us service contracts which are repet the estimated dollar value?	itive, regardless of	☐ Yes	□No	⊠ N/A	Remarks:	
<ol> <li>Is a CHP 78 Contract Request us services exceeding \$4,999.99?</li> </ol>		Yes	□No	⊠ N/A	Remarks:	
<ol> <li>Is the Office of Primary Interest (Conumbering beginning with the required three-digit location code used, followed three-digit location code used followed three contract payable listed on the CHI</li> </ol>	uesting command lowed by "CP" for	☐ Yes	□No	⊠ N/A	Remarks:	
Is the performance of contract ser and documented?		⊠ Yes	□ No	□ N/A	Remarks: The p monitored, howe manager is prima Section.	ver, the contract
5. Are all copies of correspondence version maintained?	with the vendor	☐ Yes	☐ No	⊠ N/A	Remarks:	
<ol> <li>Are letters for contracts documented which outline any problems related non-performance of the vendor?</li> </ol>	I to substandard or	☐ Yes	□No	⊠ N/A	Remarks:	
<ol> <li>Is the final product to be delivered specifically and in as much detail a CHP 78?</li> </ol>	described s possible in the	☐ Yes	□ No	⊠ N/A	Remarks:	
<ol> <li>Are all required levels of approval/s including the required documentation for expedite and emergency contra Chapter 22, before forwarding the 0 78A?</li> </ol>	on and approvals	☐ Yes	□ No	⊠ N/A	Remarks:	

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Walter Company of the				
9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	ct Yes	s 🗆 N	0 × N/.	A Remarks:
Is all work completed and accepted by the     Department before expiration of contract agreement	?	s □ No	D N/A	A Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☐ Yes	☐ No	D ⊠ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks: The invoices received at the Area are reviewed and processed.
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	□No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□No	⊠ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☐ Yes	□No	⊠ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	⊠ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks:
Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□No	⊠ N/A	Remarks:
9. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks:
Are contract amendment request dollar amounts  F (Rev. 09-08) OPI 010				

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

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	increased more than 30%?	Yes	☐ No	⊠ N/A	Remarks:
21	. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22	. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avionics Maintenance and Repair (2) Helicopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitorial Services (5) Consulting Services	☐ Yes	□ No	⊠ N/A	Remarks:
	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	Yes	□No	⊠ N/A	Remarks:
	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along	☐ Yes	□No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	with the control of the				
	with the contract number for retention after Commander review?				
2	8. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	No □ No	⊠ N/A	Remarks:
29	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
87 0	l. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31	. Is a computer file prepared for all contracts administered?	Yes	□No	⊠ N/A	Remarks:
10	. Is a spreadsheet prepared listing all expenditures?	Yes	□No	⊠ N/A	Remarks:
33	. Is the notification to the contractor documented for the start date for services to begin?	☐ Yes	□ No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	Yes	□No	⊠ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□ No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 250	Division: Valley Division	Chapter: 3 - Purchases
Inspected by:		Date:
Lieutenant A. (	Ornelas	12/09/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

TYPE OF INSPECTION  Division Level  Comm Executive Office Level	and Level	☐ Corrective Action Plan Included ☐ Appeal Included ☑ Attachments Included	
Follow-up Required:  Solution Yes No Due Date:		Commander's Signature:	Date: An low
		- Cf Polle	
Chapter Inspection: Cha	pter 3, Purchases		等现象系统 · 通常 · 通
Inspector's Comments R	egarding Innovative Pr	ractices:	demonstrative content of the
Command Suggestions for	or Statewide Improvem	nent:	

The North Sacramento Area has eleven purchases within the review period. Of the eleven, three were reviewed during this inspection. The inspection revealed the Area does not maintain the packing slip of the received items. However, the Area maintains a log to demonstrate when the items were ordered and received.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Division: Chapter: 3 - Purchases
Inspected by: Date: 12/09/08

	Supplemental Section
Inspector's Comments	
Inspector's Comments:	

Required Action

Corrective Action Plan/Timeline

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: 250	Division: Valley Division	Chapter: 3 - Purchases
Inspected by: Lieutenant A. Or		Date: 12/09/08

Commander's Basis for Appeal:		THE STREET		10.7
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			Ken Lin	
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Dispector's Signature:		ale: 12-09-08		

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1 of 3

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: 250	Division: Valley Division	Number:	
Evaluated by: Lieutenant A	. Ornelas	Date: 12/09/08	
Assisted by: OA Valerie P	ontarelli	Date: 12/09/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. TYPE OF INSPECTION Division Level □ Command Level ☐ Executive Office Level 11490 ☐ Voluntary Self-Inspection Follow-up Required: Commander's Signature: Yes ☐ Follow-up Inspection No. 12-17-08 For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the command level familiar with the related policies and ΠNo Remarks: □ N/A procedures for purchasing? 2. Have Approvers/reviewers of purchases received procurement training? X Yes Remarks: □ No □ N/A Are prohibited items procured on CHP 43, Purchases Requisitions? Yes No. Remarks: N/A Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet 4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from X Yes No Remarks: different suppliers or from different statewide N/A commodity contracts? 5. Is all required information entered on the CHP 43, Purchase Requisition? X Yes ☐ No Remarks: N/A 6. Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each ⊠ Yes Remarks: No N/A fiscal year (July 1)? 7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for ☐ Yes No N/A Remarks: approval?

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	☐ Yes	s 🔲 No	D ⊠ N//	Remarks: All CHP 43s are
Are the CHP 43, Purchase Requisitions, competitively bid?			14 E 24	processed through Division for appropriate routing.
	☐ Yes	i ☐ No	N/A	Remarks: The 43s reviewed were acquired through commodity contracts.
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	□ No	⊠ N/A	
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	A Programme Company of the Company o
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
Are items checked immediately for content and damage when delivered?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: The Area maintains a log to showing when the approved PO was routed.
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks: The Area does not maintain the packing slips.
Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	Yes	□ No	⊠ N/A	Remarks: The 43s reviewed showed the entire order was received.
Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?		□No	⊠ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks: The log maintained by th Area is used as a suspense file.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□ No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	Yes	□No	⊠ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	□Yes	⊠ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: 250	Division: 201	Chapter: 3 – X Number
Inspected by: Lieutenant A. Ornelas		Date: 12/05/08

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

additional space is required.	C I AIPURANSUL SAN	Charter of the National Control States of	memorandum may be used
TYPE OF INSPECTION  ☐ Division Level ☐ Common ☐ Executive Office Level  Follow-up Required: ☐ Yes ☐ No	and Level  Forward to:  Due Date:	Corrective Action Plan Included Appeal Included Attachments Included Commander's Signature:	Date:
Chapter Inspection:			
Inspector's Comments Re	egarding Innovative Prac	ctices:	AND AND THE RESIDENCE OF THE RESIDENCE O
Command Suggestions for	r Stotowida Iva		
	Otatewide improvemer		

The North Sacramento Area has only two X-Number contracts for the current year. Verbal approval was received by the command prior to the command seeking appropriate bids.

The North Sacramento Area's X-Number Program was recently audited by the Department's Office of Inspections, Audits and Evaluations Unit.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Pa	ge	2

Command: Division: Chapter: 3 - X Number
Inspected by: Date: 12/05/08

nspector's Comments:		

Required Action

Corrective Action Plan/Timeline

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

		Page	1 of 2
Command: 250	Division: Valley Division	Number:	
Evaluated by: Lieutenant A. Ornelas		Date: 12/05/08	
Assisted by: OA Valerie Pontarelli		Date: 12/05/08	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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☐ Division Level	ommand Level	Cadi	speciol 8 Sig	nature:			
	oluntary Self-Inspection	n	ب ر		Ne, U	. 11490	S
Follow-up Required:	Follow-up Inspection	Comma	inder's Signa	ture:		Date:	
For applicable policy, refer to: HPM	// 11.1, Chapter 23	13				We fill 10-8	20
Are multiple X Numbers award to circumvent the \$4,999 contri	act limit?	☐ Yes	s 🛭 No	)   N//	Remarks:		
Does all X Number file docume STD. 204 Payee Data Record?  3. Do X Numbers requiring a continuous.		⊠ Yes	s □ No	□ N/A	Remarks:		vi
3. Do X Numbers requiring a cont landscaping) have prior approve Services Section commander?	ract (i.e., janitorial or al from the Business	☐ Yes	□No	⊠ N/A	Remarks:		
<ol> <li>Are X Number requests made p services are performed?</li> </ol>		⊠ Yes	□ No	□ N/A	Remarks:	TA CONTRACTOR OF THE CONTRACTO	
5. Are X Numbers issued for a one			□ No		Remarks:		
6. Are prohibited services performe Number?	ed using an X	Yes	No	□ N/A	Remarks:		
<ol> <li>Are X Numbers used for the proc service and not the purchase of a</li> </ol>	curement of a a commodity?	⊠ Yes	□ No	□ N/A	Remarks:		NAME AND ADDRESS OF
<ol> <li>Are X Numbers issued for telecon related services pre-approved by Telecommunications Section?</li> </ol>	mmunications	. Yes	□ No	⊠ N/A	Remarks:		
<ol> <li>Do X Numbers used for facilities ( such as roof repair, electrical) co have prior approval from Facilities</li> </ol>	sting over \$1 000	☐ Yes	□ No	⊠ N/A	Remarks:		
10. Do X Numbers issued for lapsed of agreements have prior approval b Assistant Commissioner?	contractual y the appropriate	☐ Yes	□No	⊠ N/A	Remarks;		
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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	□No	⊠ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

## CCMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Grass Valley	Division: Valley	Chapter 3
Inspected by: Sgt. M.	I A. Lawrence, #11017	Date: 11/20/2008

WEP 3-9-09

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

additional space is required.			
TYPE OF INSPECTION  Division Level Comman  Executive Office Level  Follow-up Required:  Yes No	Forward to: Valley Division	Corrective Action Plan Included  Appeal Included  Attachments Included  Commander's Signature:	Date: 3/3/46
	Due Date:	- C. Whitmore	7/09
Chapter Inspection: 3 Con	nmand Procurement	and the state of t	
			3.
Inspector's Comments Reg	jarding Innovative Pra	ictices:	
		opies of all required forms for each ver	idor.
Command Suggestions for	Statewide Improveme	ent:	
None.			
Inspector's Findings:			

CHP 680A (Rev. 09-08) OPI 010

None.

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 2

Command: Grass Valley	Division: Valley	Chapter: 3	
Inspected by: Sgt. M.	A. Lawrence, #11017	Date: 11/20/2008	

Commander's Response:			
Inspector's Comments:	1-122 P. 12-12-12	Man 324 Lite	. III-5 - 9'5
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Required Action

Corrective Action Plan/Timeline

None.

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Command: Grass Valley	Division: Valley	Chapter: 3
Inspected by: Sgt. M.	A. Lawrence, #11017	Date: 11/20/2008

ge 3	A CONTRACTOR OF THE PROPERTY O
(4) selected by filed within five (5) bus	iness days of the completed chapter inspection).
peal Process: (Appeals sharibe mea	en e
ommander's Basis for Appeal:	
	사용하다 모든 남아들이 되었다고 있었다.
	사용하는 때 아니아 아이는 아이를 다른 것이다.
	하는 사람들이 하는 사람들이 가르네요. 지나는 그 나는 것
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ppeal Review/Decision: (This shall be the only level	of appeal).
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	사용하다 사람들이 가지 않는데 하는데 나를 가게 살 때 가는데 되었다.
	Date:
Lead Inspector's Signature:  M. W.	

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STATE OF CAUFORNIA DEPARTMENT OF CAUFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Commano	Deviation:	Number
GRASS VALLEY	YALLEY	Date:
SET. M. LAUX	ENCE 11017	11-20-2008
Assisted by		Tigle: 11-20-208
OFF. E. WAG	NEE TO BE	11-20-200

NSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the branks as indicated. Any discrepancies with powdy, applicable legal statues, or deficiencies noted in the inspections shall be documented on via the "Remarks" sector. Additionally, such additionally and discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command, discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall induce any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

THE YEAR ASSESSMENT AS	Lead Inaped	ara Dignatur	1	DESCRIPTION OF THE PROPERTY.
TYPE OF INSECTION  Division Level  Command Level	nu	111	1100	Gr.
☐ Executive Office Level ☐ Voluntary Self-Inspection	1100	Dane, 2/, /		
Follow-up Required: ☐ Follow-up Inspection ☐ Yes ☑ No	Sommander	us	Ami	5 17/15/04
For applicable policy, refer to: HPM 11.2, Chapter 3		- V-/-	0 00- 17	
<ol> <li>Are STD, 21 Drug Free Workplace pertifications maintained within the Cal Card command file for each vendor utilized?</li> </ol>	<b>☑</b> Yes	□No		Remarks MASTER LOS BOOK CREATED FOR ALL VENDORS
Are STD, 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	Yes		□ N/A	MASTEL LOG
Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	Yes	☐ Ne	□ N/A	REMAINS NOT ALL VENDORS HAVE RESPONDED
If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	<b>T</b> Yes	□ Ne	□NIA	Remarks:
When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	Yes	□ No	□ N/A	Remarks
Are purchases split into multiple transactions in order to excumvent transaction purchase limits?	Yes	<b>Ø</b> N≎	□ N/A	Remarks
7. Does the CHP 317 Car Card Log fully describe the purchase?	<b>Ø</b> Yes	□ No	□ N/A	Remans
Are pank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	✓ Yes	☐ Nc	□ N/A	Remarks
Is the CHP 317 Car Card Log property authorized and maintained?	☑ Yes	□Ne	□ N/A	Remarks

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# INSPECTION CHECKLIST - COMMAND CAL-CARD PROGRAM (continued

ATE OF CALIFORNIA EPARTMENT OF CALIFORNIA HIGHW COMMAND INSPECTI USPECTION CHECKLIST hapter 3, Command Procure al-Card Program	ON PROGRAM				
10. Are predit involces/rece maintained with the bar	ipts for returned items nk statement?	☐ Yes	□ No	ØN:A	REMARE NO CREDITS DURING THE LAST YEAR
11. Do non-itemized purch document the purchase quantity, and unit price the bank statement.	ase receipts/invoices by listing the commodity, of the item(s) purchased on	<b>₽</b> Yes	□ No	□ N/A	remains Alea Copies Have Detailed Secondary Receips
12. Are Cai Cards maintair	ed in a secure area?	Tayes	□No	□ N/A	Remarks
13. Are Cal Card purchase commander?	s pre-approved by the	Yes	□ No	□ N/A	Remarks A/C 02 HIS ALTERNATE
14. Have all cardholders re Department's procuren	ceived training on the nent processes?	Ves	□ No	□ N/A	Remarks
	with the Cal Card prohibited		□No	□ N/A	Remarks:
to. Are item(s) purchased by departmental policy		Yes			
by departmental policy		☐ Tes			
by departmental policy		☐ Tes			
by departmental policy		☐ Tes			
by departmental policy		☐ Tes			

## INSPECTION CHECKLIST - COMMAND CONTRACTS

Page

1 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Contracts

Comments  GRASS VALLEY	VA LLBy	Numcer
Euricalea au'	URBNICE HILLIAT	Dale: 11-20-2008
ASSISTED BY OFF. E.WAGN		Date: 11-20-2008

NSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the branks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and adoressed to the next level of command Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

	WILLIAM AND	Lead Inspec	ot,e glövietat	9.000	1
TYPE Of	FINSFECTION				
Divi	sion Level Command Leve!	11	1/	1,	welle
□ Ехе	outive Office Level	201	1.4.	1111	VIII
Fo	llow-up Required:	Commander	SILMATURE	this	1/2/1/00
M1	Yes No		20)	100	
For ap	plicable policy, refer to: HPM 11.1, Chapter 22		8	- 191	
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	☐ Yes	□N₅	<b>⊒</b> 'N/A	Remarks: NONE CETAITINI
2.	Is a CHP 78 Contract Request used for one-time services exceeding \$4,989.89?	☐ Yes	□ 250	<b>N</b> IA	Remarks:
3.	Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 73?	☐ Yes	□ No	MIA	Remarks CONTRACTS INITIATED BY ITP
4.	Is the performance of contract services monitored and documented?	Yes	□ No	□ N/A	REMARKS YENDOL LOG
5.	Are all copies of correspondence with the vendor maintained?	<b>☑</b> Yes	≥o	□ N/A	Remarks VSNIOL COS
6.	Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	Yes	□No	□ N/A	REMARKS VENDOR LEGS. CORRESPONDENCE FILE
7.	Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?	<b>₽</b> Yes	□ Ne	□ N/A	Remarks
ō.	Are all required levels of approva/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1. Chapter 22, before forwarding the CHP 78 or CHP 78A?	Ø Yes	□ Na	□ N:A	Remarks

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Page 2 of 4

STATE OF CAUFORNIA DEPARTMENT OF CAUFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Đ.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	☑ No	□ N/A	Remarks
10.	Is all work completed and accepted by the Separtment before expiration of contract agreement?	Yes	□ No	□ N/A	Remarks
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	☑ Yes	□ No	□ N/A.	Remarks
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	Yes	□ Nis	□ N/A	Remarks
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	₩ Yes	□ No	□ N/A	REMAIKS ROVIEWED
14	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	Yes	□ No	□ N/A	Remarks:
15.	is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	☑ Yes	□ No	□ N/A	Remarks:
18.	. Are all applicable form sections of the CHP 78 completed?	☐ Yes	☐ No	□ N/A	Remarks
17	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	.∏ Yes	∏ No	AIN 🗌	Remarks:
. 18	. Are all employees associated with the management of a contract competing the CHP 78S, Conflict of Interest Statement. Employee, form?	☐ Yes	□ Ns	ØN/A	Remarks:
19	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	<b>Ø</b> Yes	□ Na	□ N/A	Remarks:
23	Are contract amendment request dollar amounts increased more than 38%?	☐ Yes	□ Ne	<b>■</b> N/A	Remarks

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#### INSPECTION CHECKLIST - COMMAND CONTRACTS (continued)

Page 3 of 4

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

21	. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	MINA	петака.
22	. Are amendments requested before the expiration of the original contract?	☐ Yes	□ No	ØN/A	Remarks
23	. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	<b>I</b> N/A	Remarks
24	. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□Ns	<b>IZ</b> N/A.	Remarks
25	Are California Department of Justice (DOJ) and Federal Bureau of investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:  (1) Avortes Maintenance and Repair (2) Helcopter Maintenance and Repair (3) Instructor Services (on-site) (4) Janitotial Services (5) Consulting Services	<b>☑</b> Yes	∏ Nc	□ N/A	Remarks  ONLY  JANITORIAL
26.	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alam and Fire Alam Montorng (2) Camera Maintenance and Repair (3) Carpet installation (4) Diesel Generator Maintenance and Repair (5) Dist washer Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Estinguisher Service (6) Graphic Ans Equipment Mamenance and Repair (9) Graphic Ans Equipment Mamenance and Repair (10) Healing, Ventilation, and Air Conditioning Services (11) Launcy/Linen Services (12) Office Machine Maintenance and Repair (13) Painting Services (Intenor of facility) (14) Plumping Services (15) Spale Maintenance and Repair (16) Steam Clearing Services (cellular, satetite, and regular) (17) Telephone Services (cellular, satetite, and regular) (18) Telephone Services (cellular, satetite, and regular) (19)Unimerruptible Power Supply Maintenance and Repair	<b>□</b> Yes		□ N/A	Remains CALPHOTO ALSO USED TOR INENTIFICATION

CHILAMINE OF SELECTION OF

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Are all driver license, and fingeronn; information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	<b>I</b> ∕ Yes	□ No	□ N/A	Remarks
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal nistory information is received regarding the contractor or the contractor's personnel)?	Yes"	□ Ne	<b>⊠</b> N:A	Remarks
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	Yes	□ No	□ N/A	Remarks
30. Is a log sheet maintained for a diary of activities related to the contract?	Yes	☐ No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	₽Yes	□ No	□ N/A	Remarks: INVOICE
32. Is a spreadsheet prepared listing all expenditures?	Yes	□ No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	<b>₽</b> Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all involces have been received in order to oversee the completion of the contract?	Yes	☐ Ns	□ N/A	Remarks
<ol> <li>Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)</li> </ol>	☐ Yes	□ No	<b>W</b> N/A	Remarks
38. Does the contract file contain the STD, 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I. Ch. 3, Section 3.92.5)	Yes	□ No	ØN/A	Remarks
<ol> <li>Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)</li> </ol>	<b>₽</b> Yes	□ No	□ N/A	Remarks.
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I Ch. 7, Section 7.05)	☐ Yes	. □ Ns	ØN//	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. 1, co. 4, Section 4.09)	☐ Yes	s 🗆 Na	. PN	A Remarks

DHILADS Resignated country

## INSPECTION CHECKLIST - COMMAND PURCHASES

					Page 1 of 3
STATE OF CALFORNIA	Command GRASS	VALLE	J DIVISIO	in: LLEY	Number
DEPARTMENT OF CALIFORNIA HIGHWAY PATRICL COMMAND INSPECTION PROGRAM	Enalt stad m	r.		NCE, #11	017 11-20-2008
INSPECTION CHECKLIST Chapter 3, Command Procurements	Assisted by:	1.00			11-20-200B
Purchases		78		61 - 76 - 76 0 m	
INSTRUCTIONS: Answer individual items with "Yes" or "No" a applicable legal statues, or deficiencies noted in the inspection discrepancies and/or deficiencies shall be documented on an E Furthermore, the Exceptions Document shall include any following lossection, the "Follow-up Inspection" box shall be marked and	s snam de con Exceptions Do u-un and/or co	cument a medive :	and acider action(5)	essed to the taken. If it	e next level of command.
TYPE OF INSPECTION	Lead	inspector	a Signatu	re: /	A STANSON DEPARTMENT OF THE
☐ Division Level             ☐ Command Level	1	110	9	un	elice
☐ Executive Office Level ☐ Voluntary Self-Inspec				, ,	Date. /
Follow-up Required:		nander's S م	1.1	200 - 200 -	12/18/18
For applicable policy, refer to: HPM 11.2, Chapter	7				
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies a procedures for purchasing?</li> </ol>	ne and 🔯 'i	es [	] No	□N/A	Remarks
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	d 🛛 Y	'es [	] No	□ N/A	Remarks: AREA COMMANDER- OFFICE SERVICES SUPYR
<ol> <li>Are prohibited items procured on CHP 43, Purch Requisitions?</li> </ol>	nases \	es [	<b>⊠</b> No	□ N/A	Remarks
<ul> <li>Supplies for personally – owned equipm</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	ent				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	Ø,	/es [	□Ne	□ N/A	Remarks
<ol> <li>Is all required information entered on the CHP 4 Purchase Requisition?</li> </ol>	3,	res [	<b>∦</b> No	□ N/A	Remarks ARMS TRAINING SCHOOLED FOR 12-8-08
<ol> <li>Are the CHP 43, Purchase Requisitions, number consecutively, starting anew at the beginning of fiscal year (July 1)?</li> </ol>	each 🛛 🗎	res [	□No	□ N/A	Remarks:
7. Are expedited requests for the purchase of good forwarded to the Assistant Commissioner, Staff, approval?	for 🔲 `	res [	∐ No	<b>⊠</b> N/A	Rematks:

Page 2 of 3

STATE OF CALFORNIA
DEPARTMENT OF CALFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	<b>⊠</b> Yes	□No	□ N/A	Remarks
g.	Are the CHP 43, Purchase Requisitions, competitively bid?	<b>⊠</b> Yes	□No	□ N/A	Remarks DOCUM ENTRATION ATTACHED.
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	▼ Yes	□No	□ N/A	Remarks
i1.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	□No	<b>⊠</b> N/A	Remarks:
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□ No	<b>⊠</b> N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	<b>⊠</b> n/a	Remarks:
14.	Are items checked immediately for content and damage when delivered?	<b>⊠</b> Yes	□Ne	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	🔀 Yes	□ No	□ N/A	Remarks
18.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	<b>⊠</b> Yes	□ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	<b>⊠</b> Yes	□ No	□ N/A	Remarks: RECONT PEA DEDUSE WAS PAZTIAL DELIVERY
18.	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	🔀 Yes	□ No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	<b>⊠</b> N/A	Remarks: No DAMAGED 175MI YIA COMMON CARRIES

DHP 777 (New 102-08) OPI 010

## INSPECTION CHECKLIST - COMMAND PURCHASES (continued)

				Page 3 of 3
TEOFICAL FORMA PARTMENT OF CALIFORNIA HIGHWAY PATROL  DMMAND INSPECTION PROGRAM  SPECTION CHECKLIST  apter 3, Command Procurements rchases				
20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□No	<b>⊠</b> N/A	REMARKS AREA WAS NOTIFIED BY PSU OF RECENT COMBINATION OF CHP 43
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	<b>⊠</b> Yes	□ No	□ N/A	Remarks
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II. Ch. 11, Topic 4)	☑ Yes	□No	□ N/A	Remarks.
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	<b>⊠</b> Yes	□ No	□ N/A	Remarks 315- VENDOR SPEC SHEE TO MEST CRITERIA F
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority (mits? (Public Contracts Code Section 10329)	☐ Yes	<b>⊠</b> No	□ N/A	Remarks

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

	Page 1 of 2
Commano Eivision.	Number
EVALUED DY:	Date:
SET. M.A. LAWRENCE, TASSISTED BY	0781 11.20.2008
OFF. E. WAGNER #1	III. 7' Else III foraf@s-

NSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or f" in the branks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

Division Level Command Level  Executive Office Level Voluntary Self-Inspection	Lead Inspect	a the	Tul	Care // s/ox
Follow-up Required:  Follow-up Inspection	2	s, Signature)	Im	1/18/08
or applicable policy, refer to: HPM 11.1, Chapter 23	5 S A S			
<ol> <li>Are multiple X Numbers awarded to the same vendor to diroumvent the \$4,999 contract limit?</li> </ol>	Yes	No	□ N/A	Remarks
Does all X Number file documentation contain the STD, 204 Payee Data Record?	Yes	□ No	□N/A	Remarke MASTEL LOS
Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	<b>⊘</b> Yes	□ No	□ N/A	Remarks
Are X Number requests made prior to the date the services are performed?	<b>☑</b> Yes	□ Ne	□ N/A	Remarks:
<ol><li>Are X Numbers issued for a one-time use?</li></ol>	Ves	□ No	□ N/A	Remarks:
Are prohibited services performed using an X     Number?	☐ Yes	<b>N</b> o	□NIA	사용 :
<ol> <li>Are X Numbers used for the procurement of a service and not the purchase of a commodity?</li> </ol>	☑ Yes	□ No	□ N/A	REMAINSREPAIR MAY
Are X Numbers issued for telecommunications     Are X numbers pre-approved by	☐ Yes	□ No	<b>⊡</b> N:A	
Telecommunications Section?  Telecommunications Section?  So X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	) I Yes	, □ Ne	□ N#	FAVILITIES
nave prior approval flors flooring  10. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?		s No	, No.	DXVGEN FOR

CHI ALV (48: 62-08) Out 640

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements

X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	☐ No	MINA	Remarks,
<ol> <li>Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?</li> </ol>	<b>⊿</b> Yes	□ No	□ N/A	Remarks: VIA INTERNET
13. Does the file documentation contain the STD, 21 Orug Free workplace certification for X Number vendors?	☑ Yes	□ No	□N/A	Remarks: MASTETZ LOG
14. Do emergency service X Numbers document and justify the emergency?	<b>P</b> Yes	<u></u> N₀	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	Yes	<u></u> №	□ N/A	Remarks

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COPY

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM

**FXCEPTIONS DOCUMENT** 

Command: Division: Chapter: 3
Inspected by: Date: 12/11/08

number of the inspection in the Chapte	er inspection number. Officer in	oxes as necessary, or fill in the blanks as indicat orward to:" enter the next level of command whe document innovative practices, suggestions for be used to appeal findings. A CHP 51 Memorar	statewide
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command	Level	Appeal Included	
Executive Office Level			
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date:
☐ Yes	Due Date: 12/31/08	They Sunt	12/12/08
Chapter Inspection: Comma	HE	CO WAY WIGHT HITTER THE TO A PRINCIPLE AND A P	na na madela i
Inspector's Comments Regarding Innovative Practices:			

The Gold Run Area is able to maintain effective fiscal accountability by following departmental policy, clearly defined employee duty statements and through the lack of employee turnover. Also, the relatively small size of the Area lends itself to fiscal responsibility and management. The Area commander is directly involved with all activities/actions resulting in the expenditure of funds (CHP 43's, x#s, overtime, contracts, etc.)

The command will pursue creating spreadsheets to document purchases, X numbers, contracts and Cal card purchases as a real time expenditure reference and back up to REDS and ARMS.

#### Command Suggestions for Statewide Improvement:

ARMS and REDS were definitely two huge steps in the right direction. Many of the initial problems have been fixed or are in the process of being fixed.

Also, each Division should have management level personnel from Administrative Services Division give procurement and X-number presentations at least once a year at a DACC. Preferably just before or right after the new fiscal year, even if a budget has not been approved by the legislature. New processes can be covered, contact numbers provided, and it gets us all on the same sheet of music.

#### Inspector's Findings:

Within the Gold Run Area, all x-numbers are being requested within departmental policy. They are used for the procurement of a service, not the purchase of a commodity, and they are not used for any prohibited services. The one thing that has not been done to date is when an x-number is awarded to a small business vendor, the small business certification from DGS is not attached. However, since the recent procurement training on 11/20/08, the OSS1 will be doing this on all future x-numbers awarded to a small business vendor.

### COMMAND INSPECTION PROGRAM

EXCEPTIONS DOCUMENT

Page 2

Command: Gold Run	Division: Valley	Chapter:
Inspected by: Officer Williams		Date: 12/11/08

	TO CONTRACTOR
Commander's	Response:

As the new Area commander, I am in the process of learning the Area past practices. I will continue to incorporate innovated ideas to ensure compliance with policy, and implement processes to track procurements and x-number requests. eg. spreadsheets, on-going administrative training, supervisory and command approval.

Inspector's Comments:

None

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Gold Run	Division: Valley	Chapter:
Inspected by: Officer Williams		Date: 12/11/08

Appeal Process: (Appeals shall be filed with	hin five (5) business days of the	e completed chapter inspection).
Commander's Basis for Appeal:		
		93
N/A		
e		
Appeal Review/Decision: (This shall be to	he only level of appeal).	
N/A		
MORROW IN		z ×
	, s	
		Date:
Lead Inspector's Signature:	<u> </u>	12/11/08
Responding Commander's Signature (for appeal):		Date:





# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Gold Run	Division: Valley	Number:
Evaluated by:	). WILLIAMS	Date: 12-14-08
Assisted by:	MAYNARD	Date: 12 - 10 - 08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION □ Command Level Division Level Aleangich ☐ Voluntary Self-Inspection ☐ Executive Office Level ☐ Follow-up Inspection Follow-up Required: Yes For applicable policy, refer to: HPM 11.2, Chapter 3 1. Are all employees associated with the use of the Cal-Remarks: Val and Rod are the only □ N/A Gold Run employees associated with X No ☐ Yes Card program completing the CHP 78S, Conflict of the Cal-Card program. To date, they Interest Statement, Employee, form? have not been completing the CHP 78S, but since the recent procurement training, they will be doing this in the future. 2. Are STD. 21 Drug Free Workplace certifications Remarks: Some STD 21's are ⊠ No □ N/A attached and maintained in the Cal maintained within the Cal Card command file for Yes Card file, but most are not. The each vendor utilized? OSS1 intends on starting this for all vendors as of 1/1/09. Are STD. 204 Payee Data Record forms maintained Remarks: Some STD 204's are ⋈ No N/A attached and maintained in the Cal in the Cal Card command file for each vendor ☐ Yes Card file, but most are not. The OSS1 intends on starting this for all utilized? vendors as of 1/1/09. Are California Integrated Waste Management Board Remarks: No, this is not done □ N/A currently, but the OSS1 intends on No. Form 74 documents maintained for each vendor ☐ Yes starting this for all vendors as of utilized? 1/1/09. 5. If the vendor is a small business or DVBE is utilized, Remarks: No, this is not done N/A ⋈ No currently, but the OSS1 intends on is the certification letter from the Department of ☐ Yes starting this for all vendors as of General Services maintained in the file? 1/1/09. 6. When fair and reasonable is utilized, is the fair and Remarks: This has not been done in N/A □ No our Area, but if it is utilized, it will be Yes reasonable method documented and properly documented and properly justified. .justified? 7. Are purchases split into multiple transactions in order Remarks: This is against policy and □ N/A Yes ⋈ No to circumvent transaction purchase limits? is not done in this Area.

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

8.	Does the CHP 317 Cal Card Log fully describe the purchase?	☐ Yes	⊠ No	□ N/A	Remarks: Per training received at the recent procurement training on 11/20/08, the purchase only needs to be fully described in the log if it is not on the invoice.
9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	⊠ Yes	□No	□ N/A	Remarks: Yes, the bank statements are reconciled with the CHP 317 and the receipts/invoices monthly by the OSS1.
	l. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks: Yes, the CHP 317 is properly authorized and maintained by the OSS1.
11	. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks: Yes, they are maintained in the Area file.
. 12	. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	☐ Yes	⊠ No	□ N/A	Remarks: No, but if the purchase is not itemized on the receipt, it is listed on the log, not the bank statement.
13	. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: We only have 2 Cal Cards which are kept in a locked box in a file cabinet which is locked after business hours. The OSS1 and Automotive Technician are the only 2 authorized Cal Card users for our Area.
14.	Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks: Yes, they are verbally pre- approved by the commander.
	Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks: Yes, the OSS1 and Automotive Technician both attended the recent procurement training on 11/20/08.
16.	Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks: No, all purchases are within policy.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Gold Run	Division: Valley	Number:
Evaluated by:	). WILLIAMS	Date: 12-11-08
Assisted by:		Date:
VALARIE	MAYNARD	12-10-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspo	ector's Signat	ure.					
		30101 3 0.9	uie.					
☐ Division Level ☐ Command Level	-101							
☐ Executive Office Level ☐ Voluntary Self-Inspection		of Heavy of						
Follow-up Required:		Commander's Gignature: Date:						
Yes No		710	J. J. J.	12/12/08				
For applicable policy, refer to: HPM 11.1, Chapter 22								
Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	⊠ Yes	□No	□ N/A	Remarks: Yes, a CHP 78 is used to initiate all service contracts which are repetitive, regardless of the estimated dollar value.				
Is a CHP 78 Contract Request used for one-time services exceeding \$4,999.99?	⊠ Yes	□ No	□ N/A	Remarks: Yes, but only one time. This was with Cal Trans for fuel.				
<ol> <li>Is the Office of Primary Interest (OPI) tracking numbering beginning with the requesting command three-digit location code used, followed by "<u>CP" for</u> contract payable listed on the CHP 78?</li> </ol>	Yes	⊠Ño	□ N/A	Remarks: The OSS1 has only done one contract since becoming the OSS1 in Gold Run. She did not do this on that contract request.				
Is the performance of contract services monitored and documented?	⊠ Yes	□No	□ N/A	Remarks: This has not yet been dealt with in this area, but if it is in the future, the performance will be monitored and documented.				
5. Are all copies of correspondence with the vendor maintained?	⊠ Yes	□No	□ N/A	Remarks: Yes, all copies of correspondence with the vendor are maintained.				
6. Are letters for contracts documented and maintained which outline any problems related to substandard or non-performance of the vendor?	⊠ Yes	□ No	□ N/A	Remarks: This has not yet been dealt with in this Area, but if it is in the future, this will be done.				
<ol> <li>Is the final product to be delivered described specifically and in as much detail as possible in the CHP 78?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks: Yes, the CHP 78 describes specifically the final product to be delivered.				
8. Are all required levels of approval/signature obtained, including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?	⊠ Yes	□No	□ N/A	Remarks: Yes, all levels of approval/signature are obtained before forwarding the CHP 78 or CHP 78A.				

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	□No	⊠ N/A	Remarks: This has not been dealt with in this Area.
1.00 mm		Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks: Yes, all work is completed and accepted by the Department before expiration of contract agreement.
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks: We only have two service contracts: HVAC and Pest Control. They both fulfill their contracts as specified, and HVAC also keeps a log which is available.
8	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks: Yes, invoices for payment are reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed.
	13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks: Yes, but not necessarily by the Area. They should be monitored by Fiscal Management Section since they make the payment.
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks: Yes, the requestor verifies the contractor has fulfilled all requirements of the contract before approving the final invoice.
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks: Yes, the final invoice is identified and approved, then forwarded to Fiscal Management Section for payment.
	16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□ No	□ N/A	Remarks: Yes, all applicable form sections of the CHP 78 are completed.
		Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□ No	⊠ N/A	Remarks: We have not had to do any emergency contracts in this Area.
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	⊠ No	□ N/A	Remarks: No, the CHP 78S had not been completed, but since the recent training on 11/20/08, it will be in future.
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□ No	⊠ N/A	Remarks: We have not yet had any problems concerning the contractor's performance.
	20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks: We have not yet had to deal with this issue in Gold Run.

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STATE OF CALIFORNÍA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21	Is the length of the contract amendment request more than one year?	Yes	□ No	⊠ N/A	Remarks: We have not yet done a contract amendment request.
22.	Are amendments requested before the expiration of the original contract?	Yes	□No	⊠ N/A	Remarks: We have not yet done a contract amendment request, but if we do one, it would be before the expiration of the original contract.
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□No	⊠ N/A	Remarks: This does not apply to Gold Run.
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□ No	⊠ N/A	Remarks: This does not apply to Gold Run.
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□No	⊠ N/A	Remarks: This Area does not have any of these types of agreements.
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
	Is a driver license check conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks: There have not been any contractors or specifically assigned personnel scheduled to be on site for more than 30 days.  Per Facilities Section, the only vendors we need to run and print are for Landscaping and janitorial services. The only vendor that applies to our area is Northern Air Mechanical, a heating, ventilation, and AC company, and their results are on file here. Per Facilities Section, checking driver's licenses on all other vendors is left to our area's discretion.
	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	⊠ No	□ N/A	Remarks: Per Facilities Section, we are to keep the information in our area file.
CHP 680F (R	ev. 09-08) OPI 010			1100	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

2	8. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks: If adverse information is discovered, it is forwarded to Facilities Section to review and determine the outcome.
	Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks: Yes, all this information is maintained in our area file for three years.
30	Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks: Yes, there is a sign in/out log sheet maintained.
31	. Is a computer file prepared for all contracts administered?	☐ Yes	⊠ No	□ N/A	Remarks: No, a computer file is not prepared for all contracts administered. This Area only has seven contracts.
	l. Is a spreadsheet prepared listing all expenditures?	☐ Yes	⊠ No	□ N/A	Remarks: No, a spreadsheet is not prepared listing all expenditures. This Area only has seven contracts.
33	. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks: Yes, this is documented on the contract.
34	. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	⊠ No	□ N/A	Remarks: No, we do not contact the contractor regarding this; however, the contractor will contact us if they are not paid to see if we received all of their invoices.
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□ No	⊠ N/A	Remarks: We do not use any consultant services.
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks: We do not use any consultant services.
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks: Yes, the final contract is approved prior to contract work being started.
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□No	⊠ N/A	Remarks: This does not apply to our Area.
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks: Not to our knowledge, but only the Contract Services Unit would know for sure

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Gold Run	Division: Valley	Number:
Evaluated by:  OFFICER	Date:	
Assisted by:	MAYNARD	Date: 12-10-08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Ins	pector's Sigr	nature:				
☐ Division Level ☐ Command Level							
☐ Executive Office Level ☐ Voluntary Self-Inspection		Afferigide					
Follow-up Required:  Yes No Follow-up Inspection	Commander's Signature Date:						
For applicable policy, refer to: HPM 11.2, Chapter 7							
Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?      Have Approvers/reviewers of purchases received	⊠ Yes	□No	□ N/A	Remarks: Yes, the participants in the procurement process (OSS1, OA, Automotive Technician, and Janitor) are familiar with the related policies and procedures for purchasing. In addition, they all attended the recent procurement training on 11/20/08.			
procurement training?	⊠ Yes	□No	□ N/A				
<ul> <li>Are prohibited items procured on CHP 43, Purchase Requisitions?</li> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>	s ☐ Yes	⊠ No	□ N/A	Remarks: No, prohibited items are not procured on a CHP 43.			
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks: Yes, separate CHP 43's are prepared.			
Is all required information entered on the CHP 43, Purchase Requisition?      Are the CHP 43's Purchase Requisitions, numbered.	⊠ Yes	□ No	□ N/A	Remarks: Mostly yes; however, the coding has not been included to date, but that has changed due to procurement training.			
<ol> <li>Are the CHP 43's, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks: Yes, the CHP 43's are numbered consecutively, starting anew at the beginning of each fiscal year.			

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	s □ No	)   N//	A Remarks: To date we have not had any expedited requests for the purchase of goods, but if we do any in the future, they will be forwarded to the Assistant Commissioner, Staff for approval.
Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	
Are the CHP 43's, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	
Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks: Yes, the CHP 315 documents at least two price quotations.
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□No	⊠ N/A	Make the Annual Committee of the Committ
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□ No	⊠ N/A	Remarks: We have not had to deal with this in our Area.
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐Yes	□No	⊠ N/A	Remarks: This is not done in our Area.
Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks: Yes, items are checked immediately for content and damage when delivered.
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks: Yes, the "received copy" is approved, dated, and forwarded to FMS within three business days of receipt with one exception. In that instance, the OSS1 was in contact with FMS or Purchasing by phone, and then forwarded the paperwork when completed.
Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□No	□ N/A	Remarks: In the past, the freight and/or packing slips were kept with our file copy; however, they are now attached to the purchase order when
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	It is sent to FMS.  Remarks: We have not had to deal with this in our area yet, but if we do, this will be followed.
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No		Remarks: We have not had to deal with this in our area yet, but if we do, this will be followed.

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Are <u>damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?  20. Is Purchasing Services Unit (PSU) notified	⊠ Yes	S □ No	D □ N/A	Remarks: If the package containers (i.e. Boxes) are obviously damaged, they are opened while the common carrier is still here. If the contents ar damaged, the carrier's driver signs the freight bill to acknowledge the damage.
immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks: We have only had to do this one time, and Supply Services was called to cancel the order.
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks: Yes, the OSS1 reviews the open purchase orders periodically to ensure the orders are not opened for an unreasonable length of time.
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)  23. Are decisions documented to create a paper trail	⊠ Yes	□ No	□ N/A	Remarks: Yes, copies of the purchase requisitions and purchase orders are maintained for 3 years from the date of purchase. We are not notified when the payment is made.
purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	⊠ No	□ N/A	Remarks: This has only been done on occasion, but will be done consistently now since procurement training.
Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks: No, this is not done in this Area.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Gold Run	Division: Valley	Number:
Evaluated by:	TO LAND ST	Date:
DEFICER D.	WILLIAMS	12-11-08
Assisted by:		Date:
VALARIE 1	MAINARD	12-12-08

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inst	ector's Sign	ature:	William State of the State of t
☐ Division Level ☐ Command Level	25dd IIIO	occioi a digii	ature.	
☐ Executive Office Level ☐ Voluntary Self-Inspec	Comment of the Commen	auguido		
Follow-up Required:	n Command	ler's Signatu	re:	Date: 12/12/1592
For applicable policy, refer to: HPM 11.1, Chapter 23				
Are multiple X Numbers awarded to the same veno to circumvent the \$4,999 contract limit?	dor Yes	⊠ No	□ N/A	Remarks: No, this is against policy and is not done in this Area.
Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Kara a sa
<ol> <li>Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?</li> </ol>	Yes	□No	⊠ N/A	Remarks: This does not apply to this Area.
Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks: Yes, X Number requests are usually made prior to the date the services are performed. One exception was for Sierra Tow when they were used improperly as an evidence tow; however, the paperwork was submitted through channels for approval.
5. Are X Numbers issued for a one-time use?	⊠ Yes	□ No	□ N/A	Remarks: Yes, X Numbers are issued for a one-time use.
6. Are prohibited services performed using an X Number?	☐Yes	⊠ No	□ N/A	Remarks: No, X Numbers are not used for prohibited services.
7. Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks: Yes, X Numbers are used for the procurement of a service, not
Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	⊠ Yes	□No	□ N/A	the purchase of a commodity.  Remarks: We have not had to request any X Numbers for telecommunications related services, but if we did, it would be preapproved by Telecommunications Section.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

9	1)O X Numbers used for feetilities well-to-leave		The same of the sa		
	(such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	☐ No	□ N/A	Remarks: Yes, they are approved usually via e-mail, and a copy of the e-mail is kept in our file.
	D. Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□No	⊠ N/A	Remarks: We have not had to request any X Numbers for lapsed contractual agreements, but if we did, it would be pre-approved by the appropriate Assistant Commissioner.
1	vendor contain three price quotations?	⊠ Yes	□No	□ N/A	Remarks: Yes, all X Numbers awarded to a non-small business vendor contain three price quotations.
	2. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	☐ Yes	⊠ No	□ N/A	Remarks: This has not been done to date, but since the recent training received on 11/20/08, the OSS1 will begin doing this.
	. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks: New vendors have an STD 21 attached to the documentation, but vendors we have used before do not have one attached in our area file. The STD 21's should be on file at Business Services Section, with the X Number coordinator.
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks: Yes, emergency service X Numbers document and justify the emergency.
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks: Yes, the itemized invoice for each X Number service is maintained in the command's files.

DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM **FXCEPTIONS DOCUMENT**

Inspected by: Sergeant Treharne hard rawed one wal



INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.

**DPIF** 

TYPE OF INSPECTION  Division Level Command Level		☐ Corrective Action Plan Included ☐ Appeal Included				
						☐ Executive Office Level
Follow-up Required: Forward to: Valley Division		Commander's Signature:	Date:			
☐ Yes	Due Date: 12/31/2008	Will. Weller.	12/18/08			
Chapter inspection		· · · · · · · · · · · · · · · · · · ·				
		THE REPORT OF THE PROPERTY OF				
Inspector's Comments Regar	ding Innovative Practice	es:				
	174					

Command Suggestions for Statewide Improvement:

Inspector's Findings:

I conducted a Chapter 3 inspection which included inspecting Cal - Card, Requisitions, Purchases and Contracts. I found the files to be well organized and complete. I found that purchases, requisitions, and contracts are completed within departmental policy as well as state law. I found minor errors in paperwork which consisted of additional forms associated with the process, such as STD 21 forms not completed or small business certificates not kept in file. Recently all employees involved in the process received the departmental procurement training.

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Page 2

Command:	Division:	Chapter:
DPIF	VALLEY	3
Inspected by:		Date:
Sergeant Tre	harne	11/29/2008

All employees involved in the procurement process have attended the departmentally required procurement training. During that training a checklist was disseminated which is now utilized when purchases are made. To ensure the appropriate paperwork is being completed it will be reviewed during the quarterly Area audits.

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

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Command: Division: Chapter: 3
Inspected by: Date: 11/29/2008

Johnmander's Basis	for Appeal:			8-11-2 Ibidi   11-2 - 1	ar (C)
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#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:
Donner Pass	Valley	
Insp. Fac.		
Evaluated by:		Date:
Sergeant Treharne		11/29/2008
Assisted by:	A	Date: 11/29/08

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	II - Name of Princes			
	Lead Insp	ector's Signa	iture:	
☐ Division Level ☐ Command Level	()	$0 \circ 0$		3/9/09
☐ Executive Office Level ☐ Voluntary Self-Inspection	1 V	full	~0	5/9/09
		0 -		
Follow-up Required:  Follow-up Inspection	Gommand	ler's Signatur	e: \ [	Date:
☐ Yes ☐ No	W	V لالا	Deel	3/9/09
For applicable policy, refer to: HPM 11.2, Chapter 3				
<ol> <li>Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?</li> </ol>	∑ Yes	□No	□ N/A	Remarks:
<ol> <li>Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?</li> </ol>	☐ Yes	⊠ No	□ N/A	Remarks: Currently not completed for Bradbury Office Supply. Will correct on next purchase.
3. Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks: Currently not completed for Bradbury Office Supply. Will correct on next purchase.
4. Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks: Currently not completed for Bradbury Office Supply. Will correct on next purchase.
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□No	⊠ N/A	Remarks:
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:
8. Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□ No	□ N/A	Remarks:
<ol><li>Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	Yes	□No	⊠ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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1 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:
Donner Pass	Valley	1
Insp. Fac.		
Evaluated by:		Date:
Sergeant Treha	11/29/2008	
Assisted by:		Date:
NIA		II K.:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

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TYPE (	OF INSPECTION	Lead Insp	ector's Signa	ture:	
Div	vision Level		1) 1 /	1	1 7
	continue Office Level		1711	120	3 9 09
	ecutive Office Level	~	200	4.0.0	
Fo	ollow-up Required:	Command	ler's Signatur	i (X)	Date:
	Yes 🛛 No	Will	Y. V	edd	Q 1. 3/9/04
For a	oplicable policy, refer to: HPM 11.1, Chapter 22				
1.	Is a CHP 78 Contract Request used to initiate all service contracts which are repetitive, regardless of the estimated dollar value?	⊠ Yes	☐ No	□ N/A	Remarks:
2.	Is a CHP 78 Contract Request used for one-time				
	services exceeding \$4,999.99?	☐ Yes	☐ No	⊠ N/A	Remarks:
3.	Is the Office of Primary Interest (OPI) tracking				
5.	numbering beginning with the requesting command	⊠ Yes	□No	□ N/A	Remarks:
	three-digit location code used, followed by "CP" for				
	contract payable listed on the CHP 78?				
4	Is the performance of contract services monitored	-			
т.	and documented?	⊠ Yes	□No	□ N/A	Remarks:
	E				
5.	Are all copies of correspondence with the vendor				Remarks:
	maintained?	⊠ Yes	☐ No	□ N/A	Tremains.
6.	Are letters for contracts documented and maintained				
	which outline any problems related to substandard or	☐ Yes	□ No .	⊠ N/A	Remarks:
	non-performance of the vendor?				
7.	Is the final product to be delivered described	-	<del></del>		
	specifically and in as much detail as possible in the	⊠ Yes	☐ No	□ N/A	Remarks:
	CHP 78?				4
ρ	Are all required levels of approval/signature obtained,				
0.	including the required documentation and approvals	⊠ Yes	□No	□ N/A	Remarks:
	for expedite and emergency contracts per HPM 11.1,				
	Chapter 22, before forwarding the CHP 78 or CHP				
	78A?				

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

-					
9	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
	D. Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□ No	□ N/A	Remarks:
1	. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13	. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14	. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	☐ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	. No	⊠ N/A	Remarks:
	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

2.	1. Is the length of the contract amendment request more than one year?	☐ Yes	⊠ No	□ N/A	Remarks:
22	2. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	Yes	□No	⊠ N/A	Remarks:
24	. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:      (1) Avionics Maintenance and Repair     (2) Helicopter Maintenance and Repair	⊠ Yes	□No	□ N/A	Remarks:
	<ul><li>(3) Instructor Services (on-site)</li><li>(4) Janitorial Services</li><li>(5) Consulting Services</li></ul>		-		
26,	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□No	⊠ N/A	Remarks:
*	<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> <li>Plumbing Services</li> <li>Scale Maintenance and Repair</li> <li>Steam Cleaning Services (Carpet, not scales)</li> <li>Telephone Services (cellular, satellite, and regular)</li> <li>Television Equipment Maintenance and Repair</li> <li>Uninterruptible Power Supply Maintenance and Repair</li> </ol>				
1: =					*

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27 Are all driver license and financial in the				
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	S No	□ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	i □ No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	□No	□ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□No	⊠ N/A	Remarks:
37. Does Contract-work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	⊠ Yes	□No	□ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Donner Pass Insp. Fac.	Division: Valley	Number:		
Evaluated by:	Date:			
Sergeant Trehar	ne	11/29/2008		
Assisted by: N/A		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead In	spector's Sig		
☐ Division Level ☐ Command Level	Load III	speciol s sig	mature:	
Executive Office Level	n _	X U		e 3/9/09
Follow-up Required:  Yes No Follow-up Inspection	Comma	nder's Signal	ture:	Date: 3/9/04
For applicable policy, refer to: HPM 11.2, Chapter 7				
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	□No	□ N//	A Remarks:
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:
3. Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	☐ Yes	□No	⊠ N/A	Remarks:
			- 3	

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Γ	Do specialized items purchased contain the		_		
	appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
	<ol><li>Are the CHP 43, Purchase Requisitions, competitively bid?</li></ol>	⊠ Yes	□ No	□ N/A	Remarks:
	10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	☐ Yes	⊠ No	□ N/A	Remarks: Some only provided one
	11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□No	□ N/A	Remarks:
	12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	Yes	□No	⊠ N/A	Remarks:
	13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
	14. Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
	15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
	17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□Nò	□ N/A	Remarks:
	19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	Yes	□No	⊠ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	□No	⊠ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	☐ Yes	⊠ No	□ N/A	Remarks: Paperwork is kept for the purchases however, no basis for decisions are tracked.
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Donner Pass	Valley	
Insp. Fac.		
Evaluated by:		Date:
Sergeant Treha	rne	11/29/2008
Assisted by: / /		Date:
NIA	-	1 - 3.5.

Page

1 of 2

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

THE OF HISPORTION					
TYPE	OF INSPECTION	Lead Insp	ector's Signal	ture:	
☐ Di	vision Level		$M \cap$		$-1$ $\overline{1}$
		1 - 4	4/1/	^	219189
Ex	ecutive Office Level		100		2 3/9/09
F	ollow-up Required:	Command	ler's Signature	e: ,	
Г	Yes No	$\mathbb{I}(\mathcal{N})$	0 9. 1	()	Date: 3/9/04
L-		U .			11709
For a	pplicable policy, refer to: HPM 11.1, Chapter 23				to the
	·				
1.	Are multiple X Numbers awarded to the same vendor				
	to circumvent the \$4,999 contract limit?	Yes	⊠ No	□ N/A	Remarks:
2.	= == = ·······························				Damada
	STD. 204 Payee Data Record?	Yes	⊠ No	□ N/A	Remarks: Several X numbers did not contain
					the STD 204.
3.	a de la				Remarks:
	landscaping) have prior approval from the Business	Yes	│ □ No	⊠ N/A	Remarks.
	Services Section commander?				= =
4.	Are X Number requests made prior to the date the		-		*
₹ <b>7.</b>	services are performed?	⊠ Yes	□No	□ N/A	Remarks:
	sol wood are performed;		1100		
5.	Are X Numbers issued for a one-time use?				
		⊠ Yes	☐ No	□ N/A	Remarks:
6.	Are prohibited services performed using an X				
	Number?	☐ Yes	⊠ No		Remarks:
7.	Are X Numbers used for the procurement of a	N7.			Remarks:
	service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks.
8.	Are X Numbers issued for telecommunications				
0.	related services pre-approved by	☐ Yes	□No	⊠ N/A	Remarks:
	Telecommunications Section?				
9.	Do X Numbers used for facilities related services				
	(such as roof repair, electrical) costing over \$1,000		□ No	□ N/A	Remarks:
	have prior approval from Facilities Section?				
1.5	5 70 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1				(N)
10.	Do X Numbers issued for lapsed contractual			571	Remarks:
	agreements have prior approval by the appropriate Assistant Commissioner?	☐ Yes	□ No	⊠ N/A	Nemarks.
	Appletant Commissioner (				а н
		- 1			

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	☐ Yes	⊠ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)? 13. Does the file department.	☐ Yes	⊠ No	□ N/A	Remarks: The certificates are not always printed.
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	☐ Yes	⊠ No	□ N/A	Remarks: No STD 21's were completed.
14. Do emergency service X Numbers document and			1	
Jean's the emergency?	☐ Yes	□ No	⊠ N/A	Remarks:
5. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

Chico Area	Valley	3		
Inspected by: Captain D. S. Gillingwater		12/3/2008		
Captair D. C.				

**EXCEPTIONS DOCUMENT** 

number of the inspection in the Chapte	I IUSDECTION Hamber. Order 1 a	oxes as necessary, or fill in the blanks as indicated ward to: enter the next level of command with document innovative practices, suggestions for one used to appeal findings. A CHP 51 Memorates	statewide *
TYPE OF INSPECTION		☐ Corrective Action Plan Included	
☐ Division Level ☐ Command L	_evel	Appeal included	
Executive Office Level		Attachments Included	
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 12/03/2008
☐ Yes	Due Date: <u>12/31/2008</u>	DYAGO	
Chapter Inspection:	resolvents (Sec. 1997)		
Inspector's Comments Rega	rding Innovative Practice	es:	
No innovative processes are simplified manner.	implemented at the con	nmand. All processes are complete	ed in a very
		*	
e e			
	Statewide Improvement:		
Command Suggestions for S	Statewide Improvement.		
None			
	-8		
20 B			1
Inspector's Findings:			
			ses.
No discrepancies were foun	d.		

# COMMAND INSPECTION PROGRAM

#### EXCEPTIONS DOCUMENT

Page 2

Command: Chico Area	Division: Valley	Chapter:
Inspected by: Captain D. S.		Date: 12/03/2008

Commander's	Response:

All inspected items were being processed according to departmental policy.

Inspector's Comments:

Same as above.

Required Action

Corrective Action Plan/Timeline

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Page 3

Command: Chico Area	Division: Valley	Chapter:
Inspected by:		Date: 12/03/2008

Appeal Process: (Appeals shall be filed within five (5) business days	of the completed chapter inspection).
Commander's Basis for Appeal:	
N/A	8
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	100
9	
Appeal Review/Decision: (This shall be the only level of appeal).	
51	
	Per
	n n n
yr e t	
	Date:
Lead inspector's Signature	12/03/2008
Responding Commander's Signature (for appeal):	Date:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Chico Area	Division: Valley	Number: 241-05-08
Evaluated by: Captain D. S. C		Date: 12/03/2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

Lead Inspector's Signature:						
TYPE OF INSPECTION						
☐ Division Level ☐ Command Level		187				
☐ Executive Office Level ☐ Voluntary Self-Inspection		s Signature		Date:		
Follow-up Required:	Commander	Sygnator		2/03/2008		
For applicable policy, refer to: HPM 11.2, Chapter 3				)		
Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of	. ⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	⊠ Yes	□No	□ N/A	Remarks:		
Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks: STD 204s for X-numbers and Calcard are kept in one file.		
Are California Integrated Waste Management Board     Form 74 documents maintained for each vendor     utilized?	☐ Yes	□ No	□ N/A	Remarks: The form is maintained for our paper contract.		
5. If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:		
6. When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	⊠ Yes	□No	□ N/Ā	Remarks:		
7. Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:		
8. Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□No	□ N/A	Remarks:		
9. Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	∑ Yes	☐ No	□ N/A	Remarks:		

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

Page

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Chico Area	Division: Valley	Number: 241-05-08		
Evaluated by:	Gillingwater	Date: 12/03/2008		
Captain D. S. Gillingwater Assisted by:		Date:		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

	HODEOTION		Lead Inspec	tor's Signatur	e:	Q
	INSPECTION	N7.0	$\overline{}$	1 9	l	
Divis	sion Level	□ Command Level	1 81	1	$\angle \times$	
☐ Exec	cutive Office Level	☐ Voluntary Self-Inspection		's Signature	1	Date:
Fol	low-up Required: Yes ⊠ No	Follow-up Inspection	Commende	s 3 dilatore.		12/03/2008
For ap		o: HPM 11.1, Chapter 22				
1.	Is a CHP 78 Contract I service contracts which the estimated dollar value.	Request used to initiate all are repetitive, regardless of lue?	⊠ Yes	□No	□ N/A	Remarks: The Area only has one contract (Range).
2.	Is a CHP 78 Contract services exceeding \$4	Request used for one-time ,999.99?	⊠ Yes	□ No	□ N/A	Remarks:
3.	numbering beginning	y Interest (OPI)-tracking with the requesting command de used, followed by "CP" for on the CHP 78?	⊠ Yes	□ No	□ N/A	Remarks:
4.	Is the performance of and documented?	contract services monitored	⊠ Yes	☐ No	□ N/A	Remarks:
5.	Are all copies of corre maintained?	spondence with the vendor	⊠ Yes	☐ No	□ N/A	Remarks:
6.	Are letters for contract which outline any prob non-performance of the	ts documented and maintained blems related to substandard or ne vendor?	⊠ Yes	□No	□ N/A	Remarks:
7.	Is the final product to specifically and in as CHP 78?	be delivered described much detail as possible in the	⊠ Yes	□ No	□ N/A	Remarks:
8.	including the required	of approval/signature obtained, documentation and approvals gency contracts per HPM 11.1, warding the CHP 78 or CHP	KN 100	□No	□ N/A	Remarks:
	78A?	warding the orn 70 s. s.n.		i i		8 1

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9.	Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	☐ No	⊠ N/A	Remarks:
	10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
	12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
	13.	Are contract expenditures monitored to ensure there are sufficient funds to pay for all services rendered as required by contract?	.⊠ Yes	□ No	□ N/A	Remarks:
	14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□No	□ N/A	Remarks:
	15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	· 🛚 Yes	☐ No	□ N/A	Remarks:
	16.	. Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
		Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	Yes	□No	⊠ N/A	Remarks:
	18.	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	☐ No	□ N/A	Remarks:
	19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	⊠ Yes	☐ No	□ N/A	Remarks:
	20.	. Are contract amendment request dollar amounts increased more than 30%?	Yes	⊠ No	□ N/A	Remarks:
100		**************************************				

#### COMMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

ntracis				
21. Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	Yes	□No	⊠ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) <u>fingerprint</u> <u>checks and driver license checks</u> conducted for all of the following types of agreements:	Yes	□ No	⊠ N/A	Remarks:
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	s □ No	N/A	Remarks:
<ul> <li>(1) Alarm and Fire Alarm Monitoring</li> <li>(2) Camera Maintenance and Repair</li> <li>(3) Carpet Installation</li> <li>(4) Diesel Generator Maintenance and Repair</li> <li>(5) Dishwasher Maintenance and Repair</li> <li>(6) Elevator Maintenance and Repair</li> <li>(7) Fire Extinguisher Service</li> <li>(8) Garage Door Maintenance and Repair</li> </ul>		*	-	
(8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repa	ir			
(10)01111101111111111111111111111111111				

#### COMMAND INSPECTION PROGRAM

#### INSPECTION CHECKLIST

	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	□No	⊠ N/A	Remarks:
	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	Yes	□No	⊠ N/A	Remarks:
	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	⊠ No	□ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?		☐ No	□ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?		□No	□ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	⊠ Yes	□No	□ N/A	Remarks:
- 36	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□ No	⊠ N/A	Remarks:
37	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	Yes	∏ No	⊠ N/A	Remarks:
39	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I,	⊠ Yes	s □ No	□ N/A	Remarks:

Page

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: Chico Area	Valley	Number: 241-05-08
Evaluated by:		Date: 12/03/2008
Captain D. S. Gillingwater Assisted by:		Date:

					=====	" which policy
applicabl discrepa	e legal statues, or deficiencies ncies and/or deficiencies shall	ms with "Yes" or "No" answers, noted in the inspections shall b be documented on an Exception shall include any follow-up and ox shall be marked and only de	ns Documer	nt and addre	ssed to the aken. If thi	next level of command. s form is used as a Follow-up
			L d Inappos	tor's Signature	o.	
	INSPECTION sion Level	Command Level	Lead Inspec	tor's signature		
☐ Exec	cutive Office Level	Voluntary Self-Inspection	Commande	's Signature		Date:
Fol	low-up Required: Yes 🔀 No	☐ Follow-up Inspection	Commande	) Signature		12/03/2008
For applicable policy, refer to: HPM 11.2, Chapter 7						)
1.	Are participants in the proc command level familiar wit procedures for purchasing	h the related policies and	⊠ Yes	□ No	□ N/A	Remarks:
2.	Have Approvers/reviewers procurement training?	of purchases received	⊠ Yes	□ No	□ N/A	Remarks:
3.	Are prohibited items procu Requisitions?	red on CHP 43, Purchases	☐ Yes	⊠ No	□ N/A	Remarks:
3	<ul><li>Supplies for perso</li><li>Commodities for p</li><li>Confirming order</li><li>Purchases via the</li></ul>			5		
4.	Are separate CHP 43s, Puprepared for commodity ite different suppliers or from commodity contracts?	ems obtainable from	⊠ Yes	□ No	□ N/A	Remarks:
5.	Is all required information Purchase Requisition?	entered on the CHP 43,	⊠ Yes	□No	□ N/A	Remarks:
6.	Are the CHP 43, Purchase consecutively, starting and fiscal year (July 1)?	Requisitions, numbered w at the beginning of each	⊠ Yes	☐ No	□ N/A	Remarks:
7.	Are expedited requests for forwarded to the Assistant approval?	the purchase of goods Commissioner, Staff, for	☐ Yes	□ No	⊠ N/A	Remarks: None

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks: None
12.	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks: None
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks: None
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	☐ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	☐ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	☐ No	⊠ N/A	Remarks: None
				3	

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□No	⊠ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	☐ Yes	□No	⊠ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits?	Yes	⊠ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Chico Area	Division: Valley	Number: 241-05-08		
Evaluated by: Captain D. S. Gillingwater		Date: 12/03/2008		
Assisted by:		Date:		

Page

1 of 2

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applicab discrepa	CTIONS: Answer individual items with "Yes" or "No" answers, le legal statues, or deficiencies noted in the inspections shall be ncies and/or deficiencies shall be documented on an Exceptionore, the Exceptions Document shall include any follow-up and on, the "Follow-up Inspection" box shall be marked and only de	ns Documer	nt and addre	ssed to the aken. If the	next level of command. is form is used as a Follow-up
		L - d leepoo	tor's Signatur	9.	
TYPE OF	INSPECTION	Lead Inspec	tor's Signatur		
Divis	ion Level 🔀 Command Level		$)$ $\lambda \square$		
☐ Exec	cutive Office Level		G	D (	Date:
Fol	low-up Required: ☐ Follow-up Inspection Yes ☐ No	Commander	is Signature		12/03/2008
For app	olicable policy, refer to: HPM 11.1, Chapter 23				<u> </u>
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠Yes	□No	□ N/A	Remarks:
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□No	⊠ N/A	Remarks: Contracts are in place.
4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□ No	□ N/A	Remarks:
5.	Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:
6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks:
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	⊠ No	□ N/A	Remarks:
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	⊠ Yes	☐ No	□ N/A	Remarks: All facility related X numbers are handled by Facilities Section regardless of the amount.
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□ No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	⊠Yes	□No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

#### EXCEPTIONS DOCUMENT

	1 .4 04			
Command: Auburn	Division: Valley	Chapter: 3		
Inspected by:	Milligan, #14884	Date: 2/13/09		

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.						
TYPE OF INSPECTION		☐ Corrective Action Plan Included				
☐ Division Level ☐ Command Level		Appeal Included				
☐ Executive Office Level		☐ Attachments Included				
Follow-up Required:	Forward to: Valley Division	Commander's Signature:	Date: 2/18/09			
☐ Yes	Due Date: 12/31/08	1				
Chapter Inspection: Inspector's Comments Rega	rding Innovative Practice	es:				
None.		347				
		W W				
Command Suggestions for S	Statewide Improvement:					
i i						
None.						
	3 <sup>1</sup>					
F						
Inspector's Findings:	AC TOTAL CONTRACTOR OF THE CON					

In response to a Comm-Net Message dated September 22, 2008, the Auburn Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. No discrepancies were noted.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements Contracts Inspection Checklist
- Command Procurements Purchases Checklist
- Command X-Number Program Inspection Checklist

Commander's Response:

Inspector's Comments:

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division: Valley	Chapter: 3	
Auburn Inspected by: Sergeant Doug	Milligan, #14884	Date: 2/13/09	

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Required Action

Corrective Action Plan/Timeline

N/A

#### COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Division:		Chapter:	
Auburn Inspected by: Sergeant Doug	g Milligan, #14884	Date: 2/13/09	

Page 3

A special Process (Appeals shall be filed within	five (5) business day	s of the completed cha	pter inspection).	() 以124年174年
Appeal Process: (Appeals shall be filed within				
Commander's Basis for Appeal:				
N/A				
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		2		
	*			
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Appool Review/Decision: (This shall be the	only level of appeal)			
Appeal Review/Decision: (This shall be the	only level of appeal)			
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i	only level of appeal)			K
A A	e only level of appeal)		•	
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A Section 1	e only level of appeal)			×
N/A	e only level of appeal)			×
N/A	e only level of appeal)	Date:		
N/A  Lead Inspector's Signature:  Responding Commander's Signature (for appeal):	e only level of appeal)			1

### COMMAND INSPECTION PROGRAM INSPECTION THECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Auburn	Division: Valley	Number 220
Evaluated by: Sgt. Milligan		Date: 2/13/09
Assisted by: Shelley Daly		Date: 2/13/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION				
	Lead Insp	ector's Signa	iture:	- 4
☐ Division Level ☐ Command Level		^	11-1	
Executive Office Level Voluntary Self-Inspection	7	1/	M. U	1
	_	). "	(N)	
Follow-up Required: Follow-up Inspection	Comman	Jer's Signatui	re:	Date:
Yes No	//			2/18/19
				10/0/01
For applicable policy, refer to: HPM 11.2, Chapter 3				
Are all employees associated with the use of the Cal			1	-
Card program completing the CHP 78S, Conflict of	Yes	□ No	□ N/A	Remarks:
Interest Statement, Employee, form?	☐ 100			
2. Are STD. 21 Drug Free Workplace certifications				
maintained within the Cal Card command file for		☐ No	□ N/A	Remarks:
each vendor utilized?				On file for non state contract vendors
0 1 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0 0				
<ol> <li>Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor</li> </ol>				Remarks
utilized?	☐ Yes	☐ No	│ □ N/A	On file for non state contract vendors
utilizou :				
4. Are California Integrated Waste Management Board				11 - 12 - 12 - 12 - 12 - 12 - 12 - 12 -
Form 74 documents maintained for each vendor		☐ No	□ N/A	Remarks:
utilized?				On file for non state contract vendors
E If the worder is a small have in a DVDE:				
<ol><li>If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of</li></ol>	⊠ Yes		- N/A	Remarks:
General Services maintained in the file?	M res	☐ No	□ N/A	remand.
6. When fair and reasonable is utilized, is the fair and				
reasonable method documented and properly	Yes	☐ No	□ N/A	Remarks:
justified?				75 C
7. Are purchases split into multiple transactions in order	-		r'	
to circumvent transaction purchase limits?	Yes	⊠ No	□ N/A	Remarks:
to the same of the		⊠ MO	L IVA	
8. Does the CHP 317 Cal Card Log fully describe the				
purchase?	⊠ Yes	□No	□ N/A	Remarks:
A				2
9. Are bank statements reconciled with the CHP 317				D
Cal Card Log and the receipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:

2 of 2

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

	0 1 11 0110 017 0 10 11				
	0. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
1	Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
1	<ol> <li>Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
	3. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
1.	4. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□ No	□ N/A	Remarks:
18	5. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16	6. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:		
Auburn	Valley	220		
Evaluated by:		Date:		
Sgt. Milligan		2/13/2009		
Assisted by:		Date:		
Shelley Daly	\ 	2/13/2009		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

1	OF INSPECTION		Lead ms	pector's Signa	ature.	
ועווו	vision Level	Command Level		$\wedge$	ai so	
	recutive Office Level	✓ Voluntary Self-Inspection	7	). <i>N</i>	lill	•
F	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Comman	er's Signatur	re: ( )	Date: 2/18/09
		o: HPM 11.1, Chapter 22				
1.	service contracts which the estimated dollar val		⊠ Yes	□No	□ N/A	Remarks:
2.	services exceeding \$4,9	2) 2)	☐ Yes	⊠ No	□ N/A	Remarks:
3.	three-digit location code contract payable listed of	th the requesting command used, followed by "CP" for on the CHP 78?	☐ Yes	□ No	⊠ N/A	Remarks:
4.	and documented?	ntract services monitored	⊠ Yes	□No	□ N/A	Remarks:
	maintained?	ondence with the vendor	⊠ Yes	□ No	□ N/A	Remarks:
	which outline any proble non-performance of the		☐ Yes	□ No	⊠ N/A	Remarks: No issues requiring documentation currently.
7.	Is the final product to be specifically and in as mu CHP 78?	delivered described ch detail as possible in the	⊠ Yes	□No	□ N/A	Remarks:
8.	including the required do for expedite and emerger	approval/signature obtained, cumentation and approvals ncy contracts per HPM 11.1, rding the CHP 78 or CHP	⊠ Yes	□ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9.	Are requests for contract services less than six months from the anticipated start date of the contract	☐ Yes	☐ No	⊠ N/A	Remarks:
	pre-approved by Assistant Commissioner, Staff, for expedited processing?				
10.	Is all work completed and accepted by the Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	☐ No	□ N/A	Remarks:
12.	Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	□ No	□ N/A	Remarks:
13.	Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	Yes	□ No	⊠ N/A	Remarks:
14.	Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15.	Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□ No	□ N/A	Remarks:
	Are all applicable form sections of the CHP 78 completed?	⊠ Yes	☐ No	□ N/A	Remarks:
7	Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	⊠ Yes	□No	□ N/A	Remarks:
	Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□ No	□ N/A	Remarks:
19.	Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	Yes	□ No	⊠ N/A	Remarks:
20.	Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	□No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	Is the length of the contract amendment request more than one year?	☐ Yes	□ No	⊠ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	⊠ N/A	Remarks:
4.	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>			22	
000					
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	☐ No	⊠ N/A	Remarks:
26,	limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel	☐ Yes	□ No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

07 6 011 0				
27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	☐ Yes	☐ No	⊠ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained <u>for three years</u> after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	□No	⊠ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	☐ Yes	□No	⊠ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	Yes	□No	⊠ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	□No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

02/13/09
02/13/09

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Loading	pector's Signa	nturni	
☐ Division Level ☐ Command Level	Lead Ins	pector's Signa	1	P
Executive Office Level Voluntary Self-Inspection		). N	W	<u></u>
Follow-up Required:  Yes No Follow-up Inspection	Command	der's Signatur	re:	) Date:
For applicable policy, refer to: HPM 11.2, Chapter 7				
<ol> <li>Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?</li> </ol>	⊠ Yes	□ No	□ N/A	Remarks:
<ol><li>Have Approvers/reviewers of purchases received procurement training?</li></ol>	⊠ Yes	□No	□ N/A	Remarks:
<ol><li>Are prohibited items procured on CHP 43, Purchases Requisitions?</li></ol>	☐ Yes	⊠ No	□ N/A	Remarks:
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>				
4. Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:The CHP 315 quotation worksheet is used to get the lowest bidder.
5. Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
7. Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	□No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8. Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□ No	□ N/A	Remarks:
Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	☐ No	□ N/A	Remarks:
10. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
11. Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	⊠ Yes	□No	□ N/A	Remarks:
13. Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	⊠ Yes	□No	□ N/A	Remarks:
14. Are items checked immediately for content and damage when delivered?	⊠ Yes	☐ No	□ N/A	Remarks:
15. Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□No	□ N/A	Remarks:
16. Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
17. Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
18. Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□ No	□ N/A	Remarks:
19. Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠∙Yes	□ No	□ N/A	Remarks:
				2

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□ No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

### COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division:	Number:
Auburn Area	Valley Division	220
Evaluated by:		Date:
M. Ketterer		10/22/08
Assisted by:		Date:

Page

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INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE O	FINSPECTION	Lead Inspe	ector's Signati	ıre:	
☐ Div	ision Level 🗵 Command Level			1.	16
☐ Exe	ecutive Office Level	Mu	male	ultille	
Fo	ollow-up Required: ☐ Follow-up Inspection ☐ Yes ☐ No	Command	Signature	1	Date: /1/14/08
For ap	oplicable policy, refer to: HPM 11.1, Chapter 23				
1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	Yes	⊠ No	□ N/A	Remarks:
2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□ No	□ N/A	Remarks:
3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□No	⊠ N/A	Remarks: Contract services are arranged by Facilities Section.
4.	services are performed?	⊠ Yes	□No	□ N/A	Remarks: Exceptions for evidence towing and emergency repairs.
5.	Are X Numbers issued for a one-time use?	⊠ Yes	☐ No	□ N/A	Remarks:
6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	□No	□ N/A	Remarks: Only for emergency repairs, prior approval from division.
8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□No	⊠ N/A	Remařks:
9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks:
10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	Yes	□No	⊠ N/A	Remarks: None by Area.

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM SPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
12	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	☐ No	□ N/A	Remarks:
13.	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□ No	□ N/A	Remarks:
14.	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Amador (295)	Division: Valley	Chapter:
Inspected by: Lieutenant B. Kyr	naston/#12996	Date: 12/03/2008

Page 1 of 3

number of the inspection in the Cr	lapter inspection number. One	ate boxes as necessary, or fill in the blanks as er "Forward to:" enter the next level of comman ed to document innovative practices, suggestion may be used to appeal findings. A CHP 51 Me	ns for statewide
TYPE OF INSPECTION		Corrective Action Plan Included	
☐ Division Level ☐ Comma	and Level	Appeal Included	
Executive Office Level			
Follow-up Required:	Forward to: Valley Division Due Date:	Commander's Signature:	Date: 12/3/08
Chapter Inspection: Inspector's Comments Re	egarding Innovative Pra	ctices:	
None.			
Command Suggestions for	or Statewide Improveme	ent:	
None.		*	
Inspector's Findings:			

#### Introduction

In response to a Comm-Net Message, dated September 22, 2008, the Amador Area conducted a comprehensive evaluation of the Command's contracts to ensure compliance with departmental policy. During this evaluation, it was determined that the only contracts associated with the Amador Area were established and maintained by Facilities Section in headquarters. This team was comprised of Lt. B. Kynaston (#12996), Amador Area, and OSS I Jennifer Geraurd (#A8329), Amador Area. The inspection team began the inspection on December 3, 2008, at 0900 hours, and completed the inspection on the same day.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Contracts Inspection Checklist

#### **Prior Audits**

The last prior audit of these processes was completed by Valley Division on April 24, 2000.

#### COMMAND INSPECTION PROGRAM **EXCEPTIONS DOCUMENT**

Command: Amador (295)	Division: Valley	Chapter: 3
Inspected by: Lieutenant B. Kynaston/#12996		Date: 12/03/2008

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#### **Summary of Findings**

There were no discrepancies noted during this audit regarding contract procedures.

Commander's Response:

The Amador Area Commander will continue to monitor all Area procurement procedures to ensure compliance with departmental policies and procedures.

Inspector's Comments:

The inspector feels that the aforementioned actions by the Amador Area will ensure the Area remains fiscally responsible.

Required Action

Corrective Action Plan/Timeline

None.

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

N/A

Responding Commander's Signature (for appeal):

N/A

# COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Appeal Review/Decision: (This shall be the only level of appeal).

Command: Amador (295)	Division: Valley	Chapter: 3
Inspected by: Lieutenant B. Kynaston/#12996		Date: 12/03/2008

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Lead Inspector's Signature:		Date: 12/03/2008	
	1.2		
	# = = = = = = = = = = = = = = = = = = =		
	×		
	8		
N/A			

Date:

Remarks:

⊠ N/A

□No

☐ Yes

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command:	Division:	Number:	
Amador Area	Valley	295	
	11114141		
Evaluated by:		Date:	
Lieutenant B. K	12/03/2008		
Lieutenant D. N.			
Assisted by:	Date:		
	12/03/2008		
OSS I Jennifer (	Geraurd/#A8329	12/03/2000	

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Date: Commander's Signature: Follow-up Inspection Follow-up Required: 12/03/2009 X No. Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks:  $\bowtie$  N/A Yes □ No service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: ⊠ N/A ☐ No Yes services exceeding \$4,999.99? Is the Office of Primary Interest (OPI) tracking Remarks:  $\bowtie$  N/A numbering beginning with the requesting command ☐ Yes ☐ No three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? Is the performance of contract services monitored Remarks: N/A □ No Yes and documented? 5. Are all copies of correspondence with the vendor Remarks:  $\bowtie$  N/A ☐ Yes ⊡ No maintained? Are letters for contracts documented and maintained Remarks: ☐ No ⊠ N/A ☐ Yes which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: ⊠ N/A specifically and in as much detail as possible in the ΠNo ☐ Yes CHP 78? Are all required levels of approval/signature obtained,

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

78A?

including the required documentation and approvals

for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	☐ Yes	□No	⊠ N/A	Remarks:
10. Is all work completed and accepted by the     Department before expiration of contract agreement?	⊠ Yes	□No	□ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	⊠ Yes	☐ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	☐ Yes	□No	⊠ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	⊠ Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	Yes	□No	⊠ N/A	Remarks:
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear	☐ Yes	□ No	. ⊠ N/A	Remarks:
and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?				
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	☐ Yes	□ No	⊠ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made part of the contract manager's contract file?	a 🛚 Yes	s ☐ No	□ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	s \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \	N/A	A Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21.	Is the length of the contract amendment request more than one year?	Yes	☐ No	⊠ N/A	Remarks:
22.	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	⊠ N/A	Remarks:
23.	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	⊠ N/A	Remarks:
24.	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐Yes	□ No	⊠ N/A	Remarks:
25.	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□No	□ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:  (1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair	⊠ Yes	□ No	□ N/A	Remarks:
	(3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (interior of facility) (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair				
					, m e

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27.	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□No	□ N/A	Remarks:
28.	Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	⊠ Yes	□No	□ N/A	Remarks:
29.	Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	☐ Yes	□No	⊠ N/A	Remarks:
30.	Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	☐ No	⊠ N/A	Remarks:
31.	Is a computer file prepared for all contracts administered?	☐ Yes	□No	⊠ N/A	Remarks:
32.	Is a spreadsheet prepared listing all expenditures?	Yes	☐ No	⊠ N/A	Remarks:
33.	Is the notification to the contractor documented for the start date for services to begin?	Yes	□No	⊠ N/A	Remarks:
34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□ No	□ N/A	Remarks:
35.	Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	☐ No	⊠ N/A	Remarks:
36.	Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes	□ No	⊠ N/A	Remarks:
37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	☐ Yes	☐ No	⊠ N/A	Remarks:
38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	☐ Yes	□No	⊠ N/A	Remarks:

1 of 3

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Amador Area	Division: Valley	Number: 295
Evaluated by: Lieutenant B. K	Date: 12/03/2008	
Assisted by: OSS I Jennifer (	Date: 12/03/2008	

ap dis	INSTRUCTIONS: Answer individual items with "Yes" or "No answers, or infinitive blanks as indicated and individual items with "Yes" or "No answers, or infinitive blanks as indicated and include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.					
			T 1 - 4 1	ctor's Signatu	ro:	
TY	PE OF	INSPECTION	Lead Inspe	ctor's Signatu	ie.	
	] Divi	sion Level	(S=	1/		A STANCE OF THE
	Exe	cutive Office Level	O sumbodo	r's Signature:		Date: / /
	Fo	llow-up Required: ☐ Follow-up Inspection	S. K	Signature.	25	12/3/08
Fo	or ap	plicable policy, refer to: HPM 11.2, Chapter 7				
	1.	Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	□ No	□ N/A	Remarks:
	2.	Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	. No	□ N/A	Remarks: Lt. Kynaston received training in 10/08; OSS I, OA, and AT received training in 11/08.
	3.	Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:
<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> <li>Confirming order</li> <li>Purchases via the internet</li> </ul>					# # # # # # # # # # # # # # # # # # #	
	4.	Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:
	5.	Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:
<ol> <li>Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?</li> </ol>		⊠ Yes	□No	□ N/A	Remarks:	
	7.	Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	Yes	□ No	⊠ N/A	Remarks:
1			1		1	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	Yes	☐ No	⊠ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10.	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	☐ Yes	□ No	⊠ N/A	Remarks:
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□No	⊠ N/A	Remarks:
	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	□ No	□ N/A	Remarks:
	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□ No	⊠ N/A	Remarks:
				(4 · · · · ·	

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements

Purchases

20	Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	☐ Yes	No	⊠ N/A	Remarks: This has never been an issue in the Amador Area.
2	<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
22	<ol> <li>Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
23	3. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24	4. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

1 of 2

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Amador	Division: Valley	Number: 295
Evaluated by: Lieutenant B. Ky	Date: 12/03/2008	
Assisted by: OSS I Jennifer (	Date: 12/03/2008	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION	Lead Inspector's Signature:
☐ Division Level ☐ Command Level	K 11
Executive Office Level Voluntary Self-Inspection	D. U
Follow-up Required:	Commander's Signature: Date: 12/3/08
☐ Yes ☐ No	13 10
For applicable policy, refer to: HPM 11.1, Chapter 23	
Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes ☐ No ☐ N/A Remarks:
Does all X Number file documentation contain the STD. 204 Payee Data Record?	
Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	
Are X Number requests made prior to the date the services are performed?	
5. Are X Numbers issued for a one-time use?	☐ Yes ☐ No ☐ N/A Remarks:
6. Are prohibited services performed using an X Number?	☐ Yes ☐ No ☐ N/A Remarks:
<ol> <li>Are X Numbers used for the procurement of a service and not the purchase of a commodity?</li> </ol>	
Are X Numbers issued for telecommunications     related services pre-approved by     Telecommunications Section?	☐ Yes ☐ No ☑ N/A Remarks:
9. Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	
Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

⊠ Yes	□ No	□ N/A	Remarks:
⊠ Yes	□No	□ N/A	Remarks:
☐ Yes	⊠ No	□ N/A	Remarks: Unable to locate for some vendors.
☐ Yes	□No	⊠ N/A	Remarks:
⊠ Yes	<sup>®</sup> □ No	□ N/A	Remarks:
	✓ Yes  ☐ Yes	Yes □ No Yes □ No Yes □ No	<ul> <li>Yes</li> <li>No</li> <li>N/A</li> <li>Yes</li> <li>No</li> <li>N/A</li> <li>Yes</li> <li>No</li> <li>N/A</li> </ul>

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

4.1		JUMY
Command: Amador (295)	Division: Valley	Chapter:
Inspected by: Lieutenant B. Kyna	ston/#12996	Date: 12/03/2008

Page 1 of 3

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.								
TYPE OF INSPECTION		Corrective Action Plan Included	;-					
☐ Division Level ☐ Command L	_evel	Appeal Included						
☐ Executive Office Level			neck Lists					
Follow-up Required:	Forward to:	Commander's Signature:	Date:					
r ollow-ap required.	Valley Division	(x) 1/1						
☐ Yes	Due Date:	15 -40E	12/3/08					
	· Carl Missing W. Market	Olygon International States						
Chapter Inspection:		<b>的第四位,我们是对外国际企业之间的代码的时候</b>						
Inspector's Comments Regar	ding Innovative Practice	S:						
None.								
Command Suggestions for Statewide Improvement:								
Command Suggestions for State vide impreventions.								
None.								
Inspector's Findings:								

In response to a Comm-Net Message, dated September 22, 2008, the Amador Area conducted a comprehensive evaluation of the Command's procurements to ensure compliance with departmental policy. As part of the evaluation, the inspection team looked at all procurement records for the last 12 months, and specifically ten percent of all Purchase Requisitions (CHP 43) for this time period. Additionally, this audit looked at records and documentation relative to the Cal-Card Program and the X-Number Program. This team was comprised of Lt. B. Kynaston (#12996), Amador Area, and OSS I

Jennifer Geraurd (#A8329), Amador Area. The inspection team began the inspection on December 3, 2008, at 0900 hours, and completed the inspection on the same day.

The following documents were completed as part of this inspection:

- Exceptions Document
- Command Procurements Purchases Inspection Checklist
- Command Procurements Cal-Card Program Inspection Checklist
- Command Procurements X-Number Program Inspection Checklist

Introduction

# STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command: Amador (295)	Division: Valley	Chapter:
Inspected by: Lieutenant B. Kyn	aston/#12996	Date: 12/03/2008

Page 3 of 3

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Appeal Process: (Appeals shall	be filed within five (5) business	days of the completed chapter inspe	ction).
Commander's Basis for Appea	والمراجع المراجع المرا		
Commander's Dasis for Appea	41.		
N/A		re .	
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		196	
Appeal Review/Decision: (This	Latte the only lovel of anno-	a /\ .	*
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		I Date:	
Lead Inspector's Signature:		Date: 12/03/2008	*
B. /-		Date:	
Responding Commander's Signature (for app N/A	pear):	Date.	
INIT'S			

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command:	Division:	Number:		
Amador	Valley	295		
Evaluated by:	Date:			
Lieutenant B. Ky	12/03/2008			
Assisted by:	Date:			
OSS I Jennifer (	12/03/2008			

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

۱	TYPE O	FINSPECTION	Lead Illapo	Cigra pignata		
	☐ Div	ision Level 🔲 Command Level	1	/ 1		
	☐ Exe	ecutive Office Level	0	D. the		
		llow-up Required: ☐ Follow-up Inspection  Yes ☐ No	Commande	r's Signature:		Date: 12/3/08
	For ap	plicable policy, refer to: HPM 11.2, Chapter 3				
		Are all employees associated with the use of the Cal- Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form?	Yes	⊠ No	□ N/A	Remarks: These were not located at the time of the inspection.
	2.	Are STD. 21 Drug Free Workplace certifications maintained within the Cal Card command file for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks: These were not located for all of the Cal Card vendors.
	3.	Are STD. 204 Payee Data Record forms maintained in the Cal Card command file for each vendor utilized?	☐ Yes	⊠ No	□ N/A	Remarks: These were not located for all of the Cal Card vendors.
	4.	Are California Integrated Waste Management Board Form 74 documents maintained for each vendor utilized?	⊠ Yes	□ No	□ N/A	Remarks: When appropriate.
	5.	If the vendor is a small business or DVBE is utilized, is the certification letter from the Department of General Services maintained in the file?	⊠ Yes	□No	□ N/A	Remarks:
	6.	When fair and reasonable is utilized, is the fair and reasonable method documented and properly justified?	☐ Yes	□No	⊠ N/A	Remarks:
	7.	Are purchases split into multiple transactions in order to circumvent transaction purchase limits?	Yes	⊠ No "	□ N/A	Remarks:
	8.	Does the CHP 317 Cal Card Log fully describe the purchase?	⊠ Yes	□ No	□ N/A	Remarks:
	9.	Are bank statements reconciled with the CHP 317 Cal Card Log and the receipts/invoices?	∑ Yes	□No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks: All assigned Cal Cards remain in a locked lock box when not being utilized.
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	Yes	⊠ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM EXCEPTIONS DOCUMENT

Command:	Division:	Chapter:
ISU	Valley	3
Inspected by:		Date:
Linson/Cashdollar		12/09/08

Page 1 of 2

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated, Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide improvement, identified deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if additional space is required.							
TYPE OF INSPECTION Corrective Action Plan Included							
☐ Division Level ☒ Command L	evel	Appeal Included					
Executive Office Level		X Attachments Included					
Follow-up Required: Forward to: Valley Division		Commander's Signature:	Date:				
Yes X No	Due Date: 12/31/08	R. Sursia	1/21/09				
Chapter Inspection:	the state of the s						
-Inspector's Comments Regar	ding Innovative Practice	es:					
None.							
Command Suggestions for Statewide Improvement:							
None.							
Inspector's Findings:							

#### Introduction

Pursuant to HPM 22.1, Chapter 1, Valley Division Investigative Services Unit conducted a Chapter 3 inspection, Command Procurements. This inspection evaluated the Unit's Purchases, Cal-Card, X Number, and Contracts processes utilizing the inspection checklist found in HPM 22.1, Chapter 3, Annexes A, B, C, and D.

The following documents were completed as part of this inspection:
Exceptions Document
Purchases Inspection Checklist
Cal-Card Inspection Checklist
X Number Inspection Checklist
Contracts Inspection Checklist

#### **Prior Audits**

There were no prior audits on file. Additionally, the Office Technician does not recall a Chapter 3 inspection for the past five years.

### **COMMAND INSPECTION PROGRAM**FXCEPTIONS DOCUMENT

Command: Division:		Chapter:
ISU	Valley	3
Inspected by:		Date:
Linson/Cashdollar		12/09/08

Page 2 of 2

#### **Summary of Findings**

The Procurement process used by Valley Division ISU complies with policy and is correctly managed. The Office Technician has attended training at Valley Division to ensure that the process she uses is what is required by both policy and Valley Division. Additionally, when the Office Technician has questions regarding procurement, she consults with Valley Division prior to placing an order.

There were no discrepancies noted.

Commander's Response:

Inspector's Comments:

Required Action

Corrective Action Plan/Timeline

Appeal Process: (Appeals shall be filed within five (5) business days of the completed chapter inspection).

Commander's Basis for Appeal:

Appeal Review/Decision: (This shall be the only level of appeal).

Lead Inspector's Signature:

Lead Inspector's Signatur

STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Commaid Procurements Cal-Card Program

Command: ISU	Division: VALLEY	Number:		
Evaluated by: R. LINSON		Date: 12/09/2008		
Assisted by: K. CASHDOLLAR		Date: 12/09/2008		

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Follow-up Inspection 1/29/09 Follow-up Required: Y No Yes For applicable policy, refer to: HPM 11.2, Chapter 3 Are all employees associated with the use of the Cal-Remarks: Card program completing the CHP 78S, Conflict of  $\square$  N/A □ No Yes Yes Interest Statement, Employee, form? Are STD. 21 Drug Free Workplace certifications Remarks: □ N/A ☐ No maintained within the Cal Card command file for Yes Yes each vendor utilized? Are STD. 204 Payee Data Record forms maintained Remarks: □ N/A Yes Yes □ No in the Cal Card command file for each vendor utilized? 4. Are California Integrated Waste Management Board Remarks: □ N/A No. Form 74 documents maintained for each vendor ☐ Yes utilized? If the vendor is a small business or DVBE is utilized, Remarks: □ No □ N/A is the certification letter from the Department of Yes. General Services maintained in the file? When fair and reasonable is utilized, is the fair and Remarks: ✓ N/A ☐ Yes ☐ No reasonable method documented and properly iustified? 7. Are purchases split into multiple transactions in order Remarks: X No □ N/A ☐ Yes to circumvent transaction purchase limits? Does the CHP 317 Cal Card Log fully describe the Remarks: □ No □ N/A Yes Yes purchase? Are bank statements reconciled with the CHP 317 Remarks: □ N/A Yes Yes No Cal Card Log and the receipts/invoices?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

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(ATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	X Yes	□No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠. Yes	[] No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	∑ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	<b>⅓</b> Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	∑ Yes	□No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command:	Division: VALLEY	Number:		
Evaluated by: R. LINSON		Date: 12/09/2008		
Assisted by: K. CASHDOLLAR		Date: 12/09/2008		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

	TYPE 0	INSPECTION	Lead Inspe	ctors Signatu	ire.	
	Divi	sion Level   Command Level			_	
	☐ Exe	cutive Office Level	R.	Zu	rson.	
	Fo	llow-up Required: ☐ Follow-up Inspection ☐ Yes ☒ No	Commande R.	er's Signature	reen	Date: 1/21/09
	For ap	plicable policy, refer to: HPM 11.1, Chapter 23				
	1.	Are multiple X Numbers awarded to the same vendor to circumvent the \$4,999 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:
	2.	Does all X Number file documentation contain the STD. 204 Payee Data Record?	⊠ Yes	□No	□ N/A	Remarks:
	3.	Do X Numbers requiring a contract (i.e., janitorial or landscaping) have prior approval from the Business Services Section commander?	☐ Yes	□ No	⊠ N/A	Remarks:
	4.	Are X Number requests made prior to the date the services are performed?	⊠ Yes	□No	□ N/A	Remarks:
İ	5.	Are X Numbers issued for a one-time use?		□No	□ N/A	Remarks:
	6.	Are prohibited services performed using an X Number?	☐ Yes	⊠ No	□ N/A	Remarks:
	7.	Are X Numbers used for the procurement of a service and not the purchase of a commodity?	⊠ Yes	☐ No	□ N/A	Remarks;
	8.	Are X Numbers issued for telecommunications related services pre-approved by Telecommunications Section?	☐ Yes	□ No <sup>®</sup>	⊠ N/A	Remarks:
	9.	Do X Numbers used for facilities related services (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks:
	10.	Do X Numbers issued for lapsed contractual agreements have prior approval by the appropriate Assistant Commissioner?	⊠ Yes	□No	□ N/A	Remarks:
1						

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
14. Do emergency service X Numbers document and justify the emergency?	☐ Yes	□No	⊠ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

Command: ISU	Division: Valley	Number:		
Evaluated by: Linson		Date: 12/09/08		
Assisted by: Cashdollar		Date: 12/09/08		

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy. applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☒ Command Level ☐ Division Level □ Voluntary Self-Inspection ☐ Executive Office Level Date: Commander's Signature: Follow-up Required: 1/21/09 Follow-up Inspection No. ☐ Yes For applicable policy, refer to: HPM 11.2, Chapter 7 1. Are participants in the procurement process at the Remarks: Yes Yes ΠNo □ N/A command level familiar with the related policies and procedures for purchasing? 2. Have Approvers/reviewers of purchases received Remarks: ✓ Yes No □ N/A procurement training? Are prohibited items procured on CHP 43, Purchases Remarks: ☐ Yes No K □ N/A Requisitions? Supplies for personally - owned equipment Commodities for personal use Confirming order Purchases via the internet Are separate CHP 43s, Purchase Requisitions, Remarks: X Yes ☐ No □ N/A prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts? 5. Is all required information entered on the CHP 43, Remarks: Purchase Requisition? Yes Yes ☐ No N/A Are the CHP 43, Purchase Requisitions, numbered Remarks: Yes Yes □ No □ N/A consecutively, starting anew at the beginning of each fiscal year (July 1)? 7. Are expedited requests for the purchase of goods Remarks: THROUGH Yes No □ N/A forwarded to the Assistant Commissioner, Staff, for approval? CHANNELS

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST Chapter 3, Command Procurements

Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	☐ No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	X Yes	□No	□ N/A	Remarks:
10	Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	Yes Yes	□No	□ N/A	Remarks:
11	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	➤ Yes	□ No	□ N/A	Remarks:
12	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	X Yes	□ No	□ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	☐ No	N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	∑ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	<b>⊠</b> Yes	□No	□ N/A	Remarks:
16.	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	☐ Yes	⊠ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□No	□ N/A	Remarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	X Yes	□No	□ N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	☐ Yes	□No	⊠ N/A	Remarks:

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST
Chapter 3, Command Procurements Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	Yes	□No	⊠ N/A	Remarks:
<ol> <li>Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)</li> </ol>	⊠ Yes	□No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	<b>⊠</b> Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	Yes	<b>⊠</b> No	□ N/A	Remarks:

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: ISU	Division: Valley	Number: 3
Evaluated by: Linson		Date: 12/09/08
Assisted by: Cashdollar		Date: 12/09/08

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ☐ Division Level ☐ Executive Office Level ☐ Voluntary Self-Inspection Commander's Signature Follow-up Required: Follow-up Inspection 1/21/09 Yes No. For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A service contracts which are repetitive, regardless of X Yes No the estimated dollar value? 2. Is a CHP 78 Contract Request used for one-time Remarks: □ N/A ✓ Yes ☐ No services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: □ N/A X Yes □ No numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: □ N/A X Yes ☐ No and documented? Are all copies of correspondence with the vendor Remarks: □ N/A X Yes □ No maintained? Are letters for contracts documented and maintained Remarks: Yes □No X N/A which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: Yes Yes □ No □ N/A specifically and in as much detail as possible in the CHP 78? Are all required levels of approval/signature obtained, Remarks: X N/A including the required documentation and approvals ☐ No Yes for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

Page 2 of 4

STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST
Chapter 3, Command Procurements
Contracts

9. Are requests for contract services less than six months from the anticipated start date of the contract pre-approved by Assistant Commissioner, Staff, for expedited processing?	Yes	☐ No	[⊠ N/A	Remarks:
Is all work completed and accepted by the Department before expiration of contract agreement?	☐ Yes	□No	⊠ N/A	Remarks:
11. Are contract services performed according to the quality, quantity, objectives, timeframes, and in the manner specified in the contract (e.g., review progress reports and interim products)?	⊠ Yes	□ No	□ N/A	Remarks:
12. Are invoices for payment reviewed and approved to substantiate expenditures for work performed and to prevent penalties being assessed?	∑ Yes	□ No	□ N/A	Remarks:
13. Are contract expenditures monitored to ensure there are <u>sufficient funds</u> to pay for all services rendered as required by contract?	⊠ Yes	□ No	□ N/A	Remarks:
14. Does the requestor verify the contractor has fulfilled all requirements of the contract before approving the final invoice?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the final invoice identified and approved, as appropriate and forwarded to Fiscal Management Section for payment?	<b>⊠</b> Yes	□No	□ N/A	Remarks:
16. Are all applicable form sections of the CHP 78 completed?	☐ Yes	□No	<b>⊠</b> N/A	Remarks: USES E-MAIL
17. Do emergency contracts document and justify a sudden, unexpected occurrence that poses a clear and imminent danger, requiring immediate action to mitigate the loss or impairment of life, health, property, or essential public services?	☐ Yes	□No	⊠ N/A	Remarks:
18. Are all employees associated with the management of a contract completing the CHP 78S, Conflict of Interest Statement, Employee, form?	⊠ Yes	□No	□ N/A	Remarks:
19. Are problems concerning the contractor's performance fully documented in writing and made a part of the contract manager's contract file?	☐ Yes	□No	⊠ N/A	Remarks:
20. Are contract amendment request dollar amounts increased more than 30%?	☐ Yes	☐ No	☑ N/A	Remarks:

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

21	Is the length of the contract amendment request more than one year?	Yes	☐ No	<b>№</b> N/A	Remarks:
22	Are amendments requested before the expiration of the original contract?	☐ Yes	□No	N/A	Remarks:
23	Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	☐ Yes	□ No	I <b>∑</b> N/A	Remarks:
24	Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	☐ Yes	□No	⊠ N/A	Remarks:
25	Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	☐ Yes	□ No	Ŋ N/A	Remarks:
	<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>		_		
26.	Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	☐ Yes	□ No	∑ N/A	Remarks:
	<ol> <li>Alarm and Fire Alarm Monitoring</li> <li>Camera Maintenance and Repair</li> <li>Carpet Installation</li> <li>Diesel Generator Maintenance and Repair</li> <li>Dishwasher Maintenance and Repair</li> <li>Elevator Maintenance and Repair</li> <li>Fire Extinguisher Service</li> <li>Garage Door Maintenance and Repair</li> <li>Graphic Arts Equipment Maintenance and Repair</li> <li>Heating, Ventilation, and Air Conditioning Service</li> <li>Laundry/Linen Service</li> <li>Office Machine Maintenance and Repair</li> <li>Painting Services (interior of facility)</li> </ol>				
3	(14) Plumbing Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19)Uninterruptible Power Supply Maintenance and Repair	>	>		

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

27. Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	Yes	□ No	∑ N/A	Remarks:
28. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□No	⊠ N/A	Remarks:
29. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
30. Is a log sheet maintained for a diary of activities related to the contract?	☐ Yes	[⊠] No	□ N/A	Remarks:
31. Is a computer file prepared for all contracts administered?	☐ Yes	☐ No	⊠ N/A	Remarks:
32. Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
33. Is the notification to the contractor documented for the start date for services to begin?	X Yes	☐ No	□ N/A	Remarks:
34. Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	Yes	□No	□ N/A	Remarks:
35. Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
36. Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	⊡ Yes	□No	⊠ N/A	Remarks:
37. Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	⊠ Yes	☐ No	□ N/A	Remarks:
38. Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□Ño	⊠ N/A	Remarks:
39. Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4. Section 4.09)	☐ Yes	⊠ No	□ N/A	Remarks:

#### COMMAND INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

	(1010 11.	AND THE PERSON NAMED IN
Command: Valley	Division: Valley	Ghapter 3
Inspected by: Linda Cortez / Tina R	tojo	Date: 03/25/2009

INSTRUCTIONS: This document shall be typed. Check appropriate boxes as necessary, or fill in the blanks as indicated. Enter the chapter number of the inspection in the Chapter Inspection number. Under "Forward to:" enter the next level of command where the document shall be routed to and its due date. This document shall be utilized to document innovative practices, suggestions for statewide shall be routed to an its due deficiencies, corrective action plans, and may be used to appeal findings. A CHP 51 Memorandum may be used if

TYPE OF INSPECTION		Corrective Action Plan Included			
☐ Division Level ☐ Comma	☐ Division Level ☐ Command Level		Appeal Included		
☐ Executive Office Level		Attachments Included			
Follow-up Required:	Forward to:	Commander's Signature:	Date:		
☐ Yes ⊠ No	Due Date: 12 31 58	- All	3/25/01		
Chapter Inspection:	12. 4 (1) (2017) 12. 14. 15. 15. 15. 15. 15. 15. 15. 15. 15. 15	2000年1月1日 - 1000年1月1日 - 1000年1月 - 1			
Inspector's Comments R	egarding Innovative Prac	tices:	Ñ		

Pursuant to HPM 22.1, Chapter 1, Valley Division conducted a Chapter 3 inspection, Command Procurements. This inspection evaluated the area's purchases, Cal-Card, X Number and Contracts processing utilizing the inspection checklist founding HPM 22.1, Chapter 3, Annexes A,B,C, and D.

The following documents were completed as part of this inspection:

Exceptions Document

Purchases Inspection Checklist

Cal-Card Inspection Checklist

X number Inspection Checklist

Contracts Inspection Checklist

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Valley Division is in compliance with policy. There were no discrepancies noted.

### COMMAND, INSPECTION PROGRAM

#### **EXCEPTIONS DOCUMENT**

Page 2

Command:	Division:	Chapter:	
Inspected by:	Inse Roje	Date: 3/22/09	

Commander's Response:	
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Inspector's Comments:	
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Required Action

Corrective Action Plan/Timeline

#### **COMMAND INSPECTION PROGRAM**

#### **EXCEPTIONS DOCUMENT**

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Command:	Division:	Chapter:	
Inspected by:	ZITINA REIN	Date: 3/20/69	

1 age o						
					THE TEXT OF SHARE	19/4/31-010
Appeal Process: (App	eals shall be filed wi	: (This shall be the only level of appeal).				
Commander's Basis for	or Appeal:					
Communication Education	NUMBER OF STREET					
		757				
8						
Appeal Review/Decision	on: (This shall be t	he only level of	appeal).	.,		
** **					93	
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		<u> </u>	I De	to: /		
Lead Inspector's Signature:			, Da	" shelou		Ä
me	N:		Da	te:		
-Responding Commander's Signat	ure (for appear):		Da			

#### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Date:
03/20/2009
Date:

applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION ○ Command Level ☐ Division Level □ Voluntary Self-Inspection ☐ Executive Office Level ☐ Follow-up Inspection Follow-up Required: Yes For applicable policy, refer to: HPM 11.2, Chapter 3 1. Are all employees associated with the use of the Cal-Remarks: □ N/A X Yes ☐ No Card program completing the CHP 78S, Conflict of Interest Statement, Employee, form? Are STD. 21 Drug Free Workplace certifications Remarks: See answer to question 15 □ N/A □ No maintained within the Cal Card command file for X Yes each vendor utilized? 3. Are STD. 204 Payee Data Record forms maintained Remarks: See answer to question 15 □ N/A X Yes □No in the Cal Card command file for each vendor utilized? 4. Are California Integrated Waste Management Board Remarks: See answer to question 15 □ N/A □No ✓ Yes Form 74 documents maintained for each vendor utilized? If the vendor is a small business or DVBE is utilized, Remarks: See answer to question 15 □ N/A □ No is the certification letter from the Department of X Yes General Services maintained in the file? When fair and reasonable is utilized, is the fair and Remarks: □ No □ N/A X Yes reasonable method documented and properly justified? 7. Are purchases split into multiple transactions in order Remarks: Previously, the canine □ N/A to circumvent transaction purchase limits? ⊠ No ☐ Yes officers did this in error, issue has been resolved by raising their daily limits. 8. Does the CHP 317 Cal Card Log fully describe the Remarks: □ N/A No X Yes purchase? Are bank statements reconciled with the CHP 317 Remarks:  $\square$  N/A □ No X Yes Cal Card Log and the receipts/invoices?

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy,

### COMMAND INSPECTION PROGRAM

INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□No	□ N/A	Remarks:
11. Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	☐ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	☐ No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?		□No	□ N/A	Remarks:
15. Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□No	□ N/A	Remarks: Review training completed 03/02/2009.
Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes-	⊠ No	□ N/A	Remarks: Previous issues have been resolved by above answer.

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Contracts

Command: Valley	Division: Valley	Number: 201
Evaluated by: Tina Rojo		Date: 03/25/2009
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection ☐ Executive Office Level Date: Follow-up Inspection Follow-up Required: 3/25/01 Yes For applicable policy, refer to: HPM 11.1, Chapter 22 1. Is a CHP 78 Contract Request used to initiate all Remarks: □ N/A □ No 🛛 Yes service contracts which are repetitive, regardless of the estimated dollar value? Is a CHP 78 Contract Request used for one-time Remarks: □ N/A ☐ No X Yes services exceeding \$4,999.99? 3. Is the Office of Primary Interest (OPI) tracking Remarks: □ N/A ✓ Yes □No numbering beginning with the requesting command three-digit location code used, followed by "CP" for contract payable listed on the CHP 78? 4. Is the performance of contract services monitored Remarks: N/A ☐ No and documented? 5. Are all copies of correspondence with the vendor Remarks:  $\square$  N/A X Yes □ No maintained? 6. Are letters for contracts documented and maintained Remarks:  $\bowtie$  N/A □ No ☐ Yes which outline any problems related to substandard or non-performance of the vendor? 7. Is the final product to be delivered described Remarks: □ N/A specifically and in as much detail as possible in the ⊠ Yes □ No CHP 78? Are all required levels of approval/signature obtained, Remarks: □ No · □ N/A X Yes including the required documentation and approvals for expedite and emergency contracts per HPM 11.1, Chapter 22, before forwarding the CHP 78 or CHP 78A?

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	9. Are requests for contract services I months from the anticipated start d pre-approved by Assistant Commis expedited processing?	late of the contract	Yes	☐ No	⊠ N/A	Remarks:
	<ol> <li>Is all work completed and accepted Department before expiration of co</li> </ol>	d by the ontract agreement?	⊠ Yes	□No	□ N/A	Remarks:
	<ol> <li>Are contract services performed acquality, quantity, objectives, timeframanner specified in the contract (eprogress reports and interim production)</li> </ol>	ames, and in the e.g., review	⊠ Yes	□ No	□ N/A	Remarks:
	12. Are invoices for payment reviewed substantiate expenditures for work prevent penalties being assessed?	performed and to	⊠ Yes	□No	□ N/A	Remarks:
	13. Are contract expenditures monitore are <u>sufficient funds</u> to pay for all se as required by contract?	ed to ensure there ervices rendered	⊠ Yes	□No	□ N/A	Remarks:
	14. Does the requestor verify the contral requirements of the contract beffinal invoice?	actor has fulfilled fore approving the	⊠ Yes	□ No	□ N/A	Remarks:
8	15. Is the final invoice identified and apapropriate and forwarded to Fisca Section for payment?	oproved, as al Management	⊠ Yes	□ No	□ N/A	Remarks:
	16. Are all applicable form sections of completed?	the CHP 78	⊠ Yes	□ No	□ N/A	Remarks:
	17. Do emergency contracts documen sudden, unexpected occurrence the and imminent danger, requiring immitigate the loss or impairment of I property, or essential public services.	mediate action to ife, health, es?	⊠ Yes	□No	□ N/A	Remarks:
	18. Are all employees associated with of a contract completing the CHP 7 Interest Statement, Employee, form	785, Conflict of	⊠ Yes	□No	□ N/A	Remarks:
	<ol> <li>Are problems concerning the contr performance fully documented in v part of the contract manager's con</li> </ol>	tract file?	⊠ Yes	□No	□ N/A	Remarks:
	20. Are contract amendment request concreased more than 30%?	dollar amounts	Yes	☐ No	⊠ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

21. Is the length of the contract amendment request more than one year?	☐ Yes	□No	⊠ N/A	Remarks:
22. Are amendments requested before the expiration of the original contract?	Yes	□No	⊠ N/A	Remarks:
23. Is a service contract on a CHP 78, Contract Request initiated for any commercial meeting/conference room rental which is expected to exceed \$4,999.99 in total cost?	⊠ Yes	□ No	□ N/A	Remarks:
24. Do conference room rental costs exceeding the \$500 per day limit have pre-approval from Assistant Commissioner, Staff?	⊠ Yes	□ No	□ N/A	Remarks:
25. Are California Department of Justice (DOJ) and Federal Bureau of Investigation (FBI) fingerprint checks and driver license checks conducted for all of the following types of agreements:	⊠ Yes	□ No	□ N/A	Remarks:
<ul> <li>(1) Avionics Maintenance and Repair</li> <li>(2) Helicopter Maintenance and Repair</li> <li>(3) Instructor Services (on-site)</li> <li>(4) Janitorial Services</li> <li>(5) Consulting Services</li> </ul>				
26. Is a <u>driver license check</u> conducted for, but not limited to, all of the following types of agreements, if the contractor and/or specifically assigned personnel are scheduled to be on-site for more than 30 days:	⊠ Yes	□No	□ N/A	Remarks:
(1) Alarm and Fire Alarm Monitoring (2) Camera Maintenance and Repair (3) Carpet Installation (4) Diesel Generator Maintenance and Repair (5) Dishwasher Maintenance and Repair (6) Elevator Maintenance and Repair (7) Fire Extinguisher Service (8) Garage Door Maintenance and Repair (9) Graphic Arts Equipment Maintenance and Repair (10) Heating, Ventilation, and Air Conditioning Service (11) Laundry/Linen Service (12) Office Machine Maintenance and Repair (13) Painting Services (interior of facility) (14) Plumbing Services (15) Scale Maintenance and Repair (16) Steam Cleaning Services (Carpet, not scales) (17) Telephone Services (cellular, satellite, and regular) (18) Television Equipment Maintenance and Repair (19) Uninterruptible Power Supply Maintenance and Repair			-	
		-		

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

	27	Are all driver license and fingerprint information forwarded to Contract Services Unit (CSU), along with the contract number for retention after Commander review?	⊠ Yes	□ No	□ N/A	Remarks:
		. Is CSU advised by the command to determine if adverse information discovered is grounds for canceling the contract (i.e., adverse driver license and/or criminal history information is received regarding the contractor or the contractor's personnel)?	☐ Yes	□ No	⊠ N/A	Remarks:
		. Are all invoices, records, and relevant documentation maintained for three years after the final payment of the contract?	⊠ Yes	□No	□ N/A	Remarks:
		. Is a log sheet maintained for a diary of activities related to the contract?	⊠ Yes	□No	□ N/A	Remarks:
	31.	. Is a computer file prepared for all contracts administered?	⊠ Yes	☐ No	□ N/A	Remarks:
	32.	Is a spreadsheet prepared listing all expenditures?	⊠ Yes	□No	□ N/A	Remarks:
	33.	Is the notification to the contractor documented for the start date for services to begin?	⊠ Yes	□No	□ N/A	Remarks:
	34.	Is the contractor contacted to determine if all invoices have been received in order to oversee the completion of the contract?	⊠ Yes	□No	□ N/A	Remarks:
		Do consultant services contracts of \$1,000 or more contain detailed performance criteria and a schedule for performance? (SCM Vol. I, Ch. 3, Section 3.02.1)	☐ Yes	□No	⊠ N/A	Remarks:
		Does the contract file contain the STD. 4 Contractor Evaluation form for consultant contracts? (SCM Vol. I, Ch. 3, Section 3.02.5)	☐ Yes.	□No	⊠ N/A	Remarks:
	37.	Does Contract work only begin after approval of the final contract? (SCM Vol. 1, Ch. 4, Section 4.09)	√ Yes	□No∍	⊠ N/A	Remarks:
G G	38.	Are the requirements for Government Code Section 19130 (a) or (b) documented and justified for personal service contracts? (GC 19130 & SCM Vol. I, Ch. 7, Section 7.05)	☐ Yes	□ No	⊠ N/A	Remarks:
	39.	Are any contract payments made prior to the final approval and execution of the contract? (SCM Vol. I, Ch. 4, Section 4.09)	Yes	□No	⊠ N/A	Remarks:

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

Command: Valley	Division: Valley	Number: 201	
Evaluated by: Tina Rojo	4	Date: 03/25/2009	
Assisted by:		Date:	

			***************************************			
applicat discrepa	JCTIONS: Answer individual items with "Yes" or "No" answers ble legal statues, or deficiencies noted in the inspections shall ancies and/or deficiencies shall be documented on an Exception more, the Exceptions Document shall include any follow-up an on, the "Follow-up Inspection" box shall be marked and only d	ons Docume	ent and addre	essed to the taken. If the	e next level nis form is u	of command.
		I Hanna	ctor's Signatu	ro.		
TYPE O	FINSPECTION	Lead Insper	Stor & Signatur	· ·		
☐ Divi	sion Level	Ana	Pour		2	
	cutive Office Level	Commande	r's Signature:			Date:
Fo	llow-up Required: ☐ Yes ☐ No ☐ Follow-up Inspection	100	Jh			3/25/09
For ap	plicable policy, refer to: HPM 11.2, Chapter 7	1				
1.	Are participants in the procurement process at the command level familiar with the related policies and procedures for purchasing?	⊠ Yes	□No	□ N/A	Remarks:	14
2.	Have Approvers/reviewers of purchases received procurement training?	⊠ Yes	□No	□ N/A	Remarks:	
3.	Are prohibited items procured on CHP 43, Purchases Requisitions?	☐ Yes	⊠ No	□ N/A	Remarks:	
	<ul> <li>Supplies for personally – owned equipment</li> <li>Commodities for personal use</li> </ul>		5			
	<ul><li>Confirming order</li><li>Purchases via the internet</li></ul>					
4.	Are separate CHP 43s, Purchase Requisitions, prepared for commodity items obtainable from different suppliers or from different statewide commodity contracts?	⊠ Yes	□ No	□ N/A	Remarks:	π.
5.	Is all required information entered on the CHP 43, Purchase Requisition?	⊠ Yes	□No	□ N/A	Remarks:	4 1
6.	Are the CHP 43, Purchase Requisitions, numbered consecutively, starting anew at the beginning of each fiscal year (July 1)?	⊠ Yes	□ No	□ N/A	Remarks:	
7.	Are expedited requests for the purchase of goods forwarded to the Assistant Commissioner, Staff, for approval?	⊠ Yes	□ No	□ N/A	Remarks:	
				III.		

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Purchases

8.	Do specialized items purchased contain the appropriate Division, and/or OPI approvals?	⊠ Yes	□No	□ N/A	Remarks:
9.	Are the CHP 43, Purchase Requisitions, competitively bid?	⊠ Yes	□No	□ N/A	Remarks:
10	. Does the CHP 315, Price Comparison Worksheet, document at least two price quotations?	⊠ Yes	□No	□ N/A	Remarks:
11.	Are Limited Competitive Bidding purchase requests that limit or restrict the purchase to one specific brand or model justified and in compliance with SAM 3555?	Yes	□ No	⊠ N/A	Remarks:
	Are Limited Competitive Bidding purchase requests for items that interface with existing departmental equipment in compliance with SAM 3555.3?	☐ Yes	□ No	⊠ N/A	Remarks:
13.	Do Non-Competitive Bid (NCB) purchase requests contain the NCB justification and NCB Corrective Action Plan documents?	☐ Yes	□ No	⊠ N/A	Remarks:
14.	Are items checked immediately for content and damage when delivered?	⊠ Yes	□No	□ N/A	Remarks:
15.	Is the "received copy" of the purchase order approved, dated, and forwarded to the Fiscal Management Section (FMS), Account Payable Unit, within three business days of receipt, if all items are accepted?	⊠ Yes	□ No	□ N/A	Remarks:
	Are freight and/or packing slips attached to the received copy of the purchase order and sent to FMS?	⊠ Yes	∏ No	□ N/A	Remarks:
17.	Is FMS provided a photocopy of the purchase order and any approved freight or packing slips as acknowledgement that a portion of the order has been received?	⊠ Yes	□ No	□ N/A	Rèmarks:
	Is the original "received copy" retained by the command for completion and forwarding to the FMS when the complete shipment is received?	⊠ Yes	☐ No	- 🗌 N/A	Remarks:
19.	Are <u>Damaged items</u> delivered by common carrier acknowledged on the freight bill by the carrier's driver before being accepted?	⊠ Yes	□No	□ N/A	Remarks:
Gi.	F 5 7 1 2				

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements
Purchases

20. Is Purchasing Services Unit (PSU) notified immediately by telephone, followed in writing either by a memorandum or e-mail, requesting cancellation of the requisition or deletion of an item, if it is determined that a commodity requested on a CHP 43 is no longer needed and a purchase order has not yet been prepared?	⊠ Yes	□No	□ N/A	Remarks:
21. Are open purchase orders periodically reviewed and investigated to ensure the orders are not opened for an unreasonable length of time. (SAM 8422.0)	⊠ Yes	□ No	□ N/A	Remarks:
22. Are copies of the purchase requisitions and purchase orders maintained for three years after payment? (SCM Vol. II, Ch. 11, Topic 4)	⊠ Yes	□No	□ N/A	Remarks:
23. Are decisions documented to create a paper trail documenting the basis of the decisions made for the purchase? (SCM Vol II Ch. 2, Topic 11)	⊠ Yes	□ No	□ N/A	Remarks:
24. Are purchase orders split to evade competitive bidding requirements or to circumvent the Department's delegated purchase authority limits? (Public Contracts Code Section 10329)	☐ Yes	⊠ No	□ N/A	Remarks:

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Valley	Division: Valley	Number: 201	
Evaluated by: Linda Cortez		Date: 03/20/2009	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected. Lead Inspector's Signature: TYPE OF INSPECTION Command Level ☐ Division Level ☐ Voluntary Self-Inspection Executive Office Level Follow-up Inspection Follow-up Required: 3/25/00 Yes For applicable policy, refer to: HPM 11.1, Chapter 23 1. Are multiple X Numbers awarded to the same vendor Remarks:  $\prod N/A$ to circumvent the \$4,999 contract limit? Yes ⊠ No Does all X Number file documentation contain the Remarks: Prior issues with this have □ N/A ☐ No ⊠ Yes STD. 204 Payee Data Record? been resolved thru review of HPM 11.1 CH 23 3. Do X Numbers requiring a contract (i.e., janitorial or Remarks: □ N/A 🛛 Yes ΠNo landscaping) have prior approval from the Business Services Section commander? 4. Are X Number requests made prior to the date the Remarks: □ N/A □ No services are performed? Are X Numbers issued for a one-time use? Remarks: □ N/A X Yes ΠNo 6. Are prohibited services performed using an X Remarks: ⊠ No □ N/A ☐ Yes Number? Are X Numbers used for the procurement of a Remarks: □ N/A X Yes □ No service and not the purchase of a commodity? 8. Are X Numbers issued for telecommunications Remarks: ☐ No □ N/A X Yes related services pre-approved by Telecommunications Section? 9. Do X Numbers used for facilities related services Remarks:  $\square$  N/A ⊠ Yes □ No (such as roof repair, electrical) costing over \$1,000 have prior approval from Facilities Section? 10. Do X Numbers issued for lapsed contractual Remarks: □ N/A agreements have prior approval by the appropriate ⊠ Yes ☐ No Assistant Commissioner?

# COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

11. Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	☐ No	□ N/A	Remarks:
12. Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks: Prior issues with this have been resolved thru review of HPM 11.1 CH 23
13. Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks: Prior issues with this have been resolved thru review of HPM 11.1 CH 23
14. Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
15. Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

### COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements Cal-Card Program

Command: Auburn Area	Division: Valley Division	Number: 220
Evaluated by: M. Ketterer		Date: Oct. 23, 2008
Assisted by:		Date:

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE C	F INSPECTION	Lead Inspector's Signature:				
☐ Div	rision Level	⊠ Command Level		17 .	1/	
☐ Exe	ecutive Office Level	☐ Voluntary Self-Inspection	M	Macl E	steti	Hut ,
Fo	ollow-up Required: ☐ Yes	☐ Follow-up Inspection	Command	er's Signature	an	Date: /////08
For applicable policy, refer to: HPM 11.2, Chapter 3						, , ,
1.	Card program complet Interest Statement, Em		⊠ Yes	□ No	□ N/A	Remarks:
2.		e Workplace certifications Cal Card command file for	☐ Yes	⊠ No	□ N/A	Remarks: To be completed for future purchases.
3.	Are STD. 204 Payee D in the Cal Card comma utilized?	ata Record forms maintained and file for each vendor	☐ Yes	⊠ No	□ N/A	Remarks: To be completed for future purchases.
4.		ed Waste Management Board aintained for each vendor	☐ Yes	⊠ No	□ N/A	Remarks: To be completed for future purchases.
5.		business or DVBE is utilized, from the Department of tained in the file?	☐ Yes	⊠ No	□ N/A	Remarks: To be completed for future purchases.
6.	When fair and reasona reasonable method doo justified?	ble is utilized, is the fair and cumented and properly	☐ Yes	□No	⊠ N/A	Remarks:
7.	Are purchases split into to circumvent transaction	multiple transactions in order on purchase limits?	☐ Yes	⊠ No	□ N/A	Remarks:
8.	Does the CHP 317 Cal purchase?	Card Log fully describe the	⊠ Yes	□No	□ N/A	Remarks:
9.	Are bank statements re Cal Card Log and the re	conciled with the CHP 317 eceipts/invoices?	⊠ Yes	☐ No	□ N/A	Remarks:

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

#### **COMMAND INSPECTION PROGRAM**

#### **INSPECTION CHECKLIST**

Chapter 3, Command Procurements Cal-Card Program

10. Is the CHP 317 Cal Card Log properly authorized and maintained?	⊠ Yes	□ No	□ N/A	Remarks:
Are credit invoices/receipts for returned items maintained with the bank statement?	⊠ Yes	□ No	□ N/A	Remarks:
12. Do non-itemized purchase receipts/invoices document the purchase by listing the commodity, quantity, and unit price of the item(s) purchased on the bank statement.	⊠ Yes	□ No	□ N/A	Remarks:
13. Are Cal Cards maintained in a secure area?	⊠ Yes	□No	□ N/A	Remarks:
14. Are Cal Card purchases pre-approved by the commander?	⊠ Yes	☐ No	□ N/A	Remarks:
Have all cardholders received training on the Department's procurement processes?	⊠ Yes	□ No	□ N/A	Remarks:
16. Are item(s) purchased with the Cal Card prohibited by departmental policy?	☐ Yes	⊠ No	□ N/A	Remarks:

Waste Management Board (CIWMB) form CIWMB 74, Recycled-Content Certification. Purchases from OfficeMax containing recycled content will be captured and reported by OfficeMax directly to the CAL-Card Program Activity Coordinator in headquarters.

#### 6. FILE DOCUMENTATION.

- a. To comply with the Governor's Executive Orders and mandated legislation, the CAL-Card file must contain the following:
  - (1) STD. 21, Drug-Free Workplace Certification. The supplier must self-certify under penalty of perjury and under the laws of the State of California that the contractor will comply with the requirements of the Drug-Free Workplace Act of 1990. State agencies are not permitted to conduct business with contractors who do not provide certification.
  - (2) STD. 204, Payee Data Record. The properly completed Payee Data Record will provide, among other data, the supplier's taxpayer identification number and will be used to determine whether payment(s) to the supplier are reportable.
  - (3) California Integrated Waste Management Board, CIWMB 74, Recycled Content Certification. Supplier certifies under penalty of perjury the percentage of the materials, goods and supplies offered meet or exceed the minimum percentage of recycled materials. Cardholders are authorized to certify the recycled product content based on prior purchase of the same item, catalog reference, internet, etc.
  - (4) California Certified Small, Micro, and/or Disabled Veteran-owned Certification Letter. Upon certification, the DGS provides the supplier with a copy of the certification letter.
  - (5) CHP 28, Voluntary Statistical Data. The business owner's submission of ethnic, race, and gender data to state agencies is strictly voluntary. The information shall not be collected until after the contract award is made. Cardholders shall maintain the CHP 28, Voluntary Statistical Data, locally for future audit review.
  - (6) Fair and Reasonable Certification. The CHP 317, CAL-Card Log, has been revised to incorporate the buyer's (cardholder's) certification that the cost of each acquisition is deemed fair and reasonable. This certification is based on the buyer's (cardholder's) experience and knowledge of procurement policies and procedure.

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- b. STD. forms 21, Drug-Free Workplace Certification and 204, Payee Data Record, are valid for three years, and should only be attached to the CAL-Card statement at the time of the initial contact with a supplier. The CIWMB 74, Recycled-Content Certification, form should be attached to the CAL-Card statement for all 11 reportable recycled-content categories. The certification must be attached to the monthly CAL-Card statement.
- c. The revised CHP 317, CAL-Card Log, reflects the required file documentation and provides instructions for forms completion.
- d. The CAL-Card Program Activity Coordinator maintains a database of certified suppliers whose necessary documentation is already on file. Periodic updates will be e-mailed to the Approving Official for dissemination to the Division cardholders.

#### 7. SPECIAL REQUIREMENTS.

- a. <u>Special-Funded Commodities</u>. The credit card may not be used for the purchase of commodities funded with federal grant, asset forfeiture, or any other reimbursable special-funded source due to the inability to track the expenditure for reimbursement.
- b. <u>General Commodities</u>. Credit cards may be used to buy commodities if any of the criteria listed below applies. If so, a written explanation must be included in the column marked "Description of Purchase" on the CHP 317, CAL-Card Log, particularly emergency purchases as defined in (2) below.
  - (1) Commodity is not available through departmental delegation, mandatory state contract (with the exception of office and janitorial supplies), State Price Schedules, California Multiple Award Schedules, Prison Industry Authority, or CHP Supply Services Unit (SSU).
  - (2) Commodity is available through CHP SSU <u>and</u> at least one of the following situations applies:
    - (a) Item is on back order and is urgently needed before projected available date and is commercially available. A copy of the back order invoice must be attached to the CHP 317, CAL-Card Log.
    - (b) An emergency situation exists. "Emergency" is defined as the inability to continue critical daily operations or when public health, welfare or safety is threatened. An emergency condition is one which would not have been avoided by reasonable care and diligence, or one involving an immediate threat of damage or injury to persons committed to the agency's care, to employees of the agency, to members of the general public, or to property for which the agency is responsible.

HPM 11.2

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STATE OF CALIFORNIA DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

Command: Auburn Area	Division: Valley Division	Number: 220	
Evaluated by: M. Ketterer		Date: 10/22/08	
Assisted by:		Date:	

INSTRUCTIONS: Answer individual items with "Yes" or "No" answers, or fill in the blanks as indicated. Any discrepancies with policy, applicable legal statues, or deficiencies noted in the inspections shall be commented on via the "Remarks" section. Additionally, such discrepancies and/or deficiencies shall be documented on an Exceptions Document and addressed to the next level of command. Furthermore, the Exceptions Document shall include any follow-up and/or corrective action(s) taken. If this form is used as a Follow-up Inspection, the "Follow-up Inspection" box shall be marked and only deficient items need to be re-inspected.

TYPE OF INSPECTION

Lead Inspector's Signature:

						1362	
☐ Division Level ☐ Command Level		1111/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1/1					
☐ Executive Office Level ☐ Voluntary Self-Inspection			Michael Einteller				
Fo	llow-up Required: Yes 🔀 No	☐ Follow-up Inspection	Commande	S Signature.	1	Date: 11/14/08	
For ap	plicable policy, refer to	o: HPM 11.1, Chapter 23	3			,	
1.	Are multiple X Numbers to circumvent the \$4,99	s awarded to the same vendor 9 contract limit?	☐ Yes	⊠ No	□ N/A	Remarks:	
2.	Does all X Number file STD. 204 Payee Data	documentation contain the Record?	⊠ Yes	□ No	□ N/A	Remarks:	
3.	Do X Numbers requirin landscaping) have prior Services Section comm	g a contract (i.e., janitorial or approval from the Business nander?	☐ Yes	□No	⊠ N/A	Remarks: Contract services are arranged by Facilities Section.	
4.	services are performed		⊠ Yes	□No	□ N/A	Remarks: Exceptions for evidence towing and emergency repairs.	
5.	Are X Numbers issued	for a one-time use?	⊠ Yes	□ No	□ N/A	Remarks:	
6.	Are prohibited services Number?	performed using an X	☐ Yes	⊠ No	□ N/A	Remarks:	
7.	Are X Numbers used for service and not the pur	or the procurement of a chase of a commodity?	⊠ Yes	□No	□ N/A	Remarks: Only for emergency repairs, prior approval from division.	
8.	Are X Numbers issued related services pre-ap Telecommunications S	proved by	☐ Yes	□No	⊠ N/A	Remarks:	
9.		r facilities related services ectrical) costing over \$1,000 m Facilities Section?	☐ Yes	□No	⊠ N/A	Remarks:	
10.	Do X Numbers issued agreements have prior Assistant Commissione	approval by the appropriate	☐ Yes	□No	⊠ N/A	Remarks: None by Area.	

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STATE OF CALIFORNIA
DEPARTMENT OF CALIFORNIA HIGHWAY PATROL

## COMMAND INSPECTION PROGRAM INSPECTION CHECKLIST

Chapter 3, Command Procurements X-Number Program

1	Do all X Numbers awarded to a non-small business vendor contain three price quotations?	⊠ Yes	□ No	□ N/A	Remarks:
\	Do all X Numbers awarded to a small business vendor contain the small business certification from the Department of General Services (DGS)?	⊠ Yes	□No	□ N/A	Remarks:
	Does the file documentation contain the STD. 21 Drug Free workplace certification for X Number vendors?	⊠ Yes	□No	□ N/A	Remarks:
	Do emergency service X Numbers document and justify the emergency?	⊠ Yes	□ No	□ N/A	Remarks:
	Is the itemized invoice for each X Number service maintained in the command's files?	⊠ Yes	□ No	□ N/A	Remarks: